

Statement of Work Matrix

Implementation

IM 1.0 General Implementation Management

Num	Statement of Work	Response
IM 1.1	The SP shall develop and properly deliver the Implementation Management Plan (CDL IM 001). The SP shall conduct implementation activities in accordance with the Implementation Management Plan. The SP shall monitor implementation activities to effect improvements and shall update the Implementation Management Plan in accordance with directions in CDL IM 001.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.2	The SP shall develop, implement, and monitor processes and procedures necessary to execute the Implementation Management Plan.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.3	<p>The SP shall periodically report status to the State and deliver the Implementation Status Report. The SP shall deliver an Implementation Status Report to the designated State contact by the fifth State business day of each month beginning one month after contract award. The format of the Implementation Status Report is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <ol style="list-style-type: none"> 1) Summary of Implementation Activities <ol style="list-style-type: none"> a) Activities completed in prior month b) Activities planned for upcoming month 2) Summary of Deliverables <ol style="list-style-type: none"> a) Deliverables produced in prior month b) Deliverables missed and reason c) Deliverables planned for upcoming month 3) Schedule Status <ol style="list-style-type: none"> a) Adjustments made to plan or schedule b) Critical path assessment 4) Summary of Testing Activities <ol style="list-style-type: none"> a) Status of test planning activities b) Status of test problem resolution c) Test progress summary 5) Issues Summary, including Status of Critical Issues 6) Risk Summary and Status of Critical Risks 7) Summary of Audit Resolutions and Status of Corrective Actions 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.4	The SP shall provide the assistance necessary to achieve ACF Certification. This assistance includes working with State staff, federal reviewers, and others to support Certification planning and review activities, and developing and implementing strategies to resolve Certification issues.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.5	The SP shall, upon request by the State, complete applicable ACF Certification documents and provide the Certification documents to the State in accordance with the timeframes established by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 1.0 General Implementation Management

Num	Statement of Work	Response
IM 1.6	The SP shall participate in State conducted CSE Production Validation Reviews for State acceptance of CSE Version 1 and CSE Version 2. Participation includes, but is not limited to, providing data within the timeframes established by the State to demonstrate SDU operability.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.7	The SP shall participate in State conducted SDU Production Validation Audits for SDU Version 1 and SDU Version 2.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.8	The SP shall participate in State conducted audits and reviews of implementation management processes and activities to include providing requested information and access to staff within the timeframes established by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.9	The SP shall review the results of State conducted implementation management audits and reviews and provide written recommendations for resolving audit findings. The SP shall correct audit deficiencies in a timely manner and in accordance with the State approved resolutions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 1.10	The SP shall develop and properly deliver the SDU Outreach Plan (CDL IM 015). The SP shall conduct Change Management Activities in accordance with the SDU Change Management Plan.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00013-01
IM 1.11	The SP shall develop and properly deliver the Electronic Disbursement Implementation and Management Plan (CDL IM 017). The SP shall conduct the EPC program in accordance with the Electronic Disbursement Implementation and Management Plan.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 2.0 Contract Performance Management

Num	Statement of Work	Response
IM 2.1	The SP shall prepare and maintain a Work Breakdown Structure (WBS) (CDL IM 003) for a period of contract award through the completion of SDU Version 2 implementation activities. The SP shall use the WBS to prepare and maintain the Implementation Schedule.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.2	The SP shall prepare and maintain an Implementation Schedule (CDL IM 002) using critical path methodology.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.3	The SP shall electronically provide Implementation Schedule data in a standard format compatible with the State's scheduling software.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.4	The SP shall participate in scheduled meetings as requested by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.5	The SP shall, unless delay will jeopardize scheduled activities, provide three State business days notice to the State to participate in SP scheduled meetings.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.6	SOW Deleted with CR-3-00007	
IM 2.7	The SP shall ensure consistency of methods, deliverables, services and communications to the State from the SP team.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.8	The SP shall participate in CCSAS Issue Management activities in accordance with the CCSAS Issue Management Plan (DCN PROJ-10006) as requested by the State. SP participation includes, but is not limited to, identifying issues, recommending resolution, preparing supporting information, conducting research and analysis, and providing appropriate SP representation at Issue Management meetings.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.9	The SP shall resolve issues assigned to the SP within the timeframes specified by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 2.0 Contract Performance Management

Num	Statement of Work	Response
IM 2.10	The SP shall participate in CCSAS Risk Management activities as requested by the State. SP participation includes, but is not limited to, identifying risks and mitigation strategies, preparing supporting information, conducting research and analysis to quantify risks, and providing appropriate SP representation at the monthly risk management meetings in accordance with the CCSAS Risk Management Plan (DCN PROJ-10002).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.11	The SP shall participate in the CCSAS In-Process Reviews (IPR). SP participation shall include attending the quarterly IPR meetings, provide agenda topics and/or supporting information, providing status on issues, risk, schedule and open action items, resolving action items assigned to the SP by the due date, and assisting the State as requested to resolve action items assigned to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.12	<p>The SP shall conduct monthly Implementation Management Reviews beginning two months after SDU contract award. The SP shall deliver an Implementation Management Review Agenda to the designated State contact a minimum of seven State business days prior to the review. The format of the Implementation Management Review Agenda is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <ol style="list-style-type: none"> 1) Date, time, location 2) Invitees 3) Implementation Status Overview <ol style="list-style-type: none"> a) Schedule review b) Schedule variance c) New Tasks 4) Issue Management <ol style="list-style-type: none"> a) Issue resolution status b) Action Item status for issues c) New issues 5) Test Status <ol style="list-style-type: none"> a) Status of test planning activities b) Status of test problem resolution c) Test progress summary 6) Problem Resolution Status <ol style="list-style-type: none"> a) Action item status for problems b) New problems 7) Change Control <ol style="list-style-type: none"> a) 60 day change request look ahead b) Changes awaiting approval by executive management c) Status of implementing approved changes 8) Risk management <ol style="list-style-type: none"> a) Risk mitigation activities b) High priority risk list status c) Risk openings or closures 9) Status of implementation audit resolutions 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 2.0 Contract Performance Management

Num	Statement of Work	Response
	10) Action Item Status	
IM 2.13	<p>The SP shall deliver Implementation Management Review Minutes to the designated State contact within three State business days following the review. The format of the Implementation Management Review Minutes is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <ol style="list-style-type: none"> 1) Date, time, location 2) Invitees/Attendees 3) Minutes author 4) Discussion summary 5) Review items, including presenters, and a list and location of presentation materials, 6) Action Items, including item name, description, assignee, date assigned, due date, status, and comments, 7) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.14	The SP shall participate in CCSAS management processes as requested by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 2.15	The SP shall participate in CCSAS schedule management activities as requested by the State. Participation includes providing schedule data and attending schedule meetings as defined in the CCSAS Schedule Management Plan (PROJ-10025)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.1	The SP shall review CSE developed interface design document(s) provided by the State and identify impacts to SDU data needs and service delivery approach. These documents include the CSE/SDU IDD (CSE CDL TM 030), for CSE Version 1 and CSE Version 2, the CASES Functional Requirements Design Description (FRDD) for CSE Version 1, ARS FRDD for CSE Version 1, and the External Entities Interface Design Descriptions (EE IDD) (CSE CDL TM 031), for CSE Version 2. Proposed changes will be in accordance with the CCSAS Configuration Change Management/Change Control Processes and Procedures (DCN PROJ-10011-1.3-032602).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.2	The SP shall contribute SDU specific content for tests described in the CCSAS Master Test Plan (CSE CDL TM 032). Participation shall include, but is not limited to, providing test data; planning test activities; reviewing test documentation such as plans, procedures, and reports; resolving testing incidents; and conducting and validating test activities.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.3	The SP shall participate in business process transition planning and execution. Participation includes, but is not limited to, reviewing CSE developed Business Process Transition Plan (CSE CDL TM 056) and SDU Integration Plan (CSE CDL TM 029) provided by the State, identifying business process transition impacts to SDU implementation and operations activities, and recommending approaches to minimize disruption to the Child Support Program and its customers, and develop and properly deliver an SDU Transition Materials and Approach Plan (CDL IM 014). The SDU Transition Materials and Approach Plan shall identify the Version 1 "To-Be" collections and disbursement processes to allow DCSS and LCSAs to conduct local change management impact analyses, business process changes, procedure development and orientation.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00012-01
IM 3.4	The SP shall implement the SDU in accordance with the State accepted: CSE developed Business Process Transition Plan (CSE CDL TM 056), the CSE Project Schedule (CSE CDL PM 009), and the CSE developed SDU Integration Plan (CSE CDL TM 029), and must be responsive to updates and changes to the plans.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.5	The SP shall participate in public sector external entity interface definition meetings as requested by the State. Participation shall include the preparation of technical materials; the identification of issues, risks, and schedule impacts; and resolving and reporting on assigned action items.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.6	The SP shall review State provided CCSAS Interagency Agreements and CCSAS External Agency Interface Agreements for consistency with SDU processes and data needs, and shall communicate issues to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.7	The SP shall establish, execute, and maintain its own agreements with private sector entities to provide required services. The SP shall make copies of agreements available to the State upon request.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.8	The SP shall define and maintain required data exchange specifications for all SDU interfaces, including but not limited to, CSE Version 1 and CSE Version 2, ARS and CASES consortia, IDB, public sector entities and private sector entities. The SP shall properly deliver a SDU Version 1 and SDU Version 2 Interface Implementation Description (IID) (CDL IM 005-1, CDL IM 005-2). The IID shall be developed in accordance with the CCSAS Interagency Agreements and CCSAS External Agency Interface Agreements. The SP shall update the IID in accordance with directions in CDL IM 005-1, CDL IM 005-2.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.9	The SP shall include the State and the CSE BP when developing the Version 1 and Version 2 IIDs in order to ensure that CSE data needs are addressed.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.10	The SP shall identify and analyze problems involving external SDU interfaces, propose problem resolution(s), provide timely updates to the CSE/SDU IDD (CSE CDL TM 030), to document changes in data exchange requirements. The SP shall obtain State approval prior to implementing the resolution.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.11	<p>The SP shall implement metrics to measure testing progress, and make the metrics available to the State. These metrics shall include, but are not limited to:</p> <ol style="list-style-type: none"> 1) Number of test cases that have passed testing 2) Average number of procedural deviations per test case 3) Number of test problems recorded by test case 4) Number of test problems resolved 5) Time from recording test problem to resolving test problem 6) Types of test and frequency 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.12	The SP shall provide access to the State for plans, scripts, scenarios, and test results used to test the services being acquired as part of this contract.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.13	The SP shall ensure that all testing of programs must be in a test environment.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00003-01

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.14	The SP shall record, monitor, and resolve problems identified during testing. The SP shall maintain a record of testing problems and their resolution. The record shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.15	The SP shall conduct SDU Interface Test Readiness Reviews (SITRR) and SDU Readiness Reviews (SDU RR) at locations and times proposed by the SP and approved by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.16	The SP shall conduct a SDU Interface Test Readiness Review (SITRR) prior to conducting an Interface Test and after State acceptance of the Interface Test Plan.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.17	<p>The SP shall deliver an SDU Interface Test Readiness Review (SITRR) Agenda for each SITRR to the designated State contact a minimum of seven State business days prior to the review. The format of the SITRR Agenda is at the discretion of the SP with State review and approval and shall include, but is not limited to, for each review and follow-up review, the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Distribution List 7) Review Items, including presenters, and a list and location of presentation materials 8) Open action Items, including item name, descriptions, assignee, date assigned, due date, status, and comments. 9) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution, 10) Next steps 11) Dial-in instructions. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.18	<p>The SP shall deliver SDU Interface Test Readiness Review (SITRR) Minutes to the designated State contact within three State business days following the review. The format of the SITRR Minutes is at the discretion of the SP with State review and approval and shall include, but is not limited to, for each review and follow-up review, the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Attendees 7) Distribution List 8) Minutes Author, Review Items, including presenters, a list and location of the presentation materials, and a summary of discussion and conclusions 9) New action Items, including item name, description, assignee, date assigned, due date, status, and comments 10) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution 11) Next steps 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.19	<p>The SP shall integrate and test the SDU portion of the CCSAS. The SP shall conduct SDU Version 1 (e.g. Version 1.1, Version 1.2 and Version 1.3) and SDU Version 2 Interface Test(s) to confirm the ability to exchange data with CSE Version 1 and CSE Version 2, ARS and CASES consortia, IDB, public sector entities and private sector entities. The SP shall properly deliver an Interface Test Plan (CDL IM 008-1, CDL IM 008-2) describing each Interface Test and shall conduct the Interface Test in accordance with the State accepted Interface Test Plan. At a minimum, the Interface Test shall establish traceability to, and demonstrate compliance with, the data exchange requirements in the CSE/SDU IDD (CSE CDL TM 030), ARS FRDD (CSE CDL TM 101), CASES FRDD (CSE CDL TM 102), and the SDU IID (CDL IM 005-1, CDL IM 005-2).</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00032
IM 3.20	<p>The SP shall record and evaluate the results of each Interface Test and properly deliver an Interface Test Report (CDL IM 009-1, CDL IM 009-2) for each Interface Test.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.21	<p>The SP shall participate in CSE System Verification Test Readiness Reviews (SVTRR), to include the Version 1 SVTRR, Version 2 Pilot SVTRR and the Version 2 Rollout SVTRR.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.22	The SP shall participate in the CSE Version 1 and CSE Version 2 CSE System Verification Tests.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.23	The SP shall assist the State in planning, conducting, and evaluating the State's CSE Version 1 (e.g. Version 1.1, Version 1.2 and Version 1.3) and CSE Version 2 System Qualification Tests. Assistance shall include, but is not limited to, contributing SDU specific content to the System Qualification Test Plan; providing test data; planning test activities; reviewing test documentation such as plans, procedures, and reports; resolving testing incidents; and conducting and validating test activities in the permanent testing environment.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00032, CR-3-00040 and CR-3-00043
IM 3.24	The SP shall conduct Operability Test(s) to confirm the operability of SDU equipment and procedures for SDU Version 1 and SDU Version 2 collection and disbursement processes. The SP shall properly deliver an Operability Test Plan (CDL IM 006) describing each Operability Test and shall conduct the Operability Test in accordance with the State accepted Operability Test Plan. At a minimum, the Operability Test shall establish traceability to, and demonstrate compliance with, appropriate Operations Management, Collection and Disbursement statements of work.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.25	The SP shall record and evaluate the results of each Operability Test and properly deliver an Operability Test Report (CDL IM 007) for each Operability Test.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.26	The SP shall conduct performance tests and participate in CSE performance testing to demonstrate the capability to scale to production volumes and meet the collection and disbursement timeframes documented in the CSE/SDU IDD (CSE CDL TM 030), ARS FRDD (CSE CDL TM 101), and CASES FRDD (CSE CDL TM 102). The SP shall record the results of performance tests and make the results available to the State for inspection.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.27	The SP shall participate in CSE Operational Readiness Assessment and Reviews (ORARs), to include the Version 1 ORAR, Version 2 Pilot ORAR, and Version 2 Rollout ORAR.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.28	<p>The SP shall deliver an SDU Readiness Review (SDU RR) Agenda for each SDU RR to the designated State contact a minimum of seven State business days prior to the review. The format of the SDU RR Agenda is at the discretion of the SP with State review and approval and shall include, but is not limited to, for each review and follow-up review, the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Distribution List 7) Review Items, including presenters, and a list and location of presentation materials 8) Open action Items, including item name, descriptions, assignee, date assigned, due date, status, and comments. 9) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution, 10) Next steps 11) Dial-in instructions. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.29	<p>The SP shall deliver SDU Readiness Review (SDU RR) Minutes to the designated State contact within three State business days following the review. The format of the SDU RR Minutes is at the discretion of the SP with State review and approval and shall include, but is not limited to, for each review and follow-up review, the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Attendees 7) Distribution List 8) Minutes Author, Review Items, including presenters, a list and location of the presentation materials, and a summary of discussion and conclusions 9) New action Items, including item name, description, assignee, date assigned, due date, status, and comments 10) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution 11) Next steps 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.30	The SP shall conduct an SDU Readiness Review (SDU RR) at the request of the State, prior to operational cutover of CSE Version 1 consistent with the CSE Version 1 Operational Readiness Assessment and Review; and prior to the operational cutover of CSE Version 2 consistent with the CSE Version 2 Operational Readiness Assessment and Review. The scope of the SDU RR shall include but not be limited to, status of external interfaces including connectivity and data exchange, testing status, technical support readiness, completeness of procedures and processes, and review of prior implementations as appropriate.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.31	The SP shall conduct an SDU Operational Readiness Assessment and Review (SDU ORAR) after the SDU Readiness Review and prior to operational cutover of SDU Version 1. The scope of the SDU ORAR shall include but not be limited to, site preparation assessment, status of equipment to be used, staff readiness, availability of supplies, completeness of procedures and processes, and review of prior implementations as appropriate. The SP shall also conduct an SDU ORAR for Version 2.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.32	<p>The SP shall deliver an SDU Operational Readiness Assessment and Review (SDU ORAR) Agenda for each SDU ORAR to the designated State contact a minimum of seven State business days prior to the review. The format of the SDU ORAR Agenda is at the discretion of the SP with State review and approval and shall include, but is not limited to, for each review and follow-up review, the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Distribution List 7) Review Items, including presenters, and a list and location of presentation materials 8) Open action Items, including item name, descriptions, assignee, date assigned, due date, status, and comments. 9) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution, 10) Next steps 11) Dial-in instructions. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.33	<p>The SP shall deliver SDU Operational Readiness Assessment and Review (SDU ORAR) Minutes to the designated State contact within three State business days following the review. The format of the SDU ORAR Minutes is at the discretion of the SP with State review and approval and shall include, but is not limited to, for each review and follow-up review, the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Attendees 7) Distribution List 8) Minutes Author, Review Items, including presenters, a list and location of the presentation materials, and a summary of discussion and conclusions 9) New action Items, including item name, description, assignee, date assigned, due date, status, and comments 10) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution 11) Next steps 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.34	The SP shall work with the Local Child Support Agencies to transition customers currently using electronic means to submit payments or receive deposits in accordance with the Implementation Management Plan (CDL IM 001), SDU Outreach Plan (IM 015) and the State's Outreach Plan.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00013-01
IM 3.35	The SP shall maintain Version 1 and Version 2 interfaces simultaneously until the completion of Version 2.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.36	The SP shall participate in CSE Version 2 Implementation Readiness Review(s).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.37	The SP shall conduct an SDU Readiness Review consistent with each CSE Version 2 Implementation Readiness Review.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.38	The SP shall document the results of the SDU Readiness Review (SDU RR) in the SDU Readiness Review Report (CDL IM 012).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.39	The SP shall document the results of the SDU Operational Readiness Assessment and Review (SDU ORAR) in the SDU Operational Readiness Assessment and Review Report (CDL IM 013).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.40	<p>The SP shall deliver an SDU Agenda for the Implementation Assessment Review (SDU IAR) to the designated State contact a minimum of seven State business days prior to the review. The format of the SDU IAR Agenda is at the discretion of the SP with State review and approval and shall include, but is not limited to, for the review the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Distribution List 7) Review Items, including presenters, and a list and location of presentation materials 8) Open action Items, including item name, descriptions, assignee, date assigned, due date, status, and comments. 9) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution, 10) Next steps 11) Dial-in instructions. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.41	<p>The SP shall deliver SDU IAR Minutes to the designated State contact within three State business days following the review. The format of the SDU IAR Minutes is at the discretion of the SP with State review and approval and shall include, but is not limited to, for the review the following information:</p> <ol style="list-style-type: none"> 1) Meeting Name 2) Meeting Date 3) Meeting Time 4) Meeting Location 5) Invitees 6) Attendees 7) Distribution List 8) Minutes Author, Review Items, including presenters, a list and location of the presentation materials, and a summary of discussion and conclusions 9) New action Items, including item name, description, assignee, date assigned, due date, status, and comments 10) Issues, including issue description, responsible party, resolution status, comments describing the steps taken to close the action, and the resolution 11) Next steps 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.42	<p>The SP shall conduct an SDU IAR at the request of the State, consistent with the CSE Version 1, Implementation 1 Operational Readiness Assessment and Review and the CSE Version 1, Implementation 2 Operational Readiness Assessment and Review. The scope of the SDU IAR shall include but not be limited to, status of external interfaces including connectivity and data exchange, testing status, technical support readiness, completeness of procedures and processes, and review of prior implementation phase(s).</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00032
IM 3.43	<p>The SP shall document the results of the SDU IAR in the SDU Implementation Assessment Review Report (CDL IM 016).</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.44	<p>The SP shall coordinate with the CSE BP the transfer of the Non IV-D Customer Service Center functions to the State CSSC within 6 months from CSSC implementation.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.45	<p>The SP shall conduct orientation to users impacted by SDU as described in the Transition Materials and Approach Plan CDL IM 014.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00012-01

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.46	The SP shall capture and maintain information submitted on the California Case Registry Form (Judicial Council Form FL 191) to support Non IV-D payment processing and the State Case Registry.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.47	<p>The SP shall contact, courts and custodial parties and noncustodial parents, as necessary and appropriate, to obtain, capture and maintain the data, to the extent this information was not provided pursuant to employer requests for Non IV-D data or FL191 data capture, as necessary to support Non IV-D payments processing including:</p> <ul style="list-style-type: none"> • NCP Name • NCP Address • NCP SSN • NCP DOB (date of birth) • Case Identifier (court case number) • Court Name • Court Address • NCP Employer Name • NCP Employer Address • NCP Employer FEIN • CP Name • CP Address • CP SSN • CP DOB • Family Violence Indicator • Court Order Number • Wage Withholding (Y/N) • Categorization and amount (e.g. child support amount or family support amount) 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.49	<p>The SP shall contact employers, using State approved requests for information, to obtain, capture and maintain the data necessary to support Non IV-D payment processing including:</p> <ul style="list-style-type: none"> • NCP Name • NCP SSN • Case Identifier (court case number) • NCP Employer Name • NCP Employer Address • NCP Employer FEIN • CP Name • CP Address • Wage Withholding amounts and categorization (i.e. child support, family or spousal support) 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 3.0 Integration Management

Num	Statement of Work	Response
IM 3.50	The SP shall compare captured Non IV-D wage withholding order and support order data with information in the NICE database and/or SCR and resolve discrepancies.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.51	The SP shall implement the SDU consistent with the CSE Version 1 Pilot, the CSE Version 2 rollout, the State's implementation strategy described in RFP Section 4.5.2 and Table 4-4B, and as soon as September 2005 for Version 1 SDU Operations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.52	The SP shall conduct SDU System Tests with CSE System Tests. The SDU System shall include functional testing of components consistent with the CSE Master Test Plan (CDL TM 032)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.53	The SP shall conduct SDU System Verification Tests concurrent with the CSE System Verification Tests. The SDU System Verification Tests shall demonstrate proper execution of the application to verify integration across capabilities and the interaction with other entities through both internal and external interfaces consistent with the CSE Master Test Plan (CDL TM 032)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 3.54	The SP shall work with the State to establish effective and efficient processes and timeframes to ensure adequate processing of claims and funding of disbursements.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 4.0 Turnover Management

Num	Statement of Work	Response
IM 4.1	The SP shall develop the State approved SDU Turnover Plan (CDL IM 010). The SP shall conduct turnover activities in accordance with the SDU Turnover Plan.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.2	The SP shall deliver a monthly status report to the designated State contact describing turnover activities during the turnover period.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.3	The SP shall, in the event that it is necessary to implement the Turnover Plan, document the results of turnover activities defined within the SDU Turnover Plan (CDL IM 010) in the SDU Turnover Activity Completion Report (CDL IM 011).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.4	The SP shall manage inventory and supplies during turnover and shall maintain no less than a three-month inventory of all supplies during the turnover period. The SP shall turnover all supplies including inventory logs of supplies at the end of the contract.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.5	The SP shall provide the necessary information regarding the services in order for the Successor to assume responsibility for, and continue the performance of, the services in an orderly manner. This information includes, but is not limited to, access to SP personnel and technical specifications regarding capture and storage of data.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.6	The SP shall perform reconciliations of financial data and transactions between the SP and its successor during turnover of collection and disbursement processing.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.7	The SP shall convert, export, or otherwise electronically deliver the data needed by the Successor to conduct operations and maintain operational continuity.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.8	The SP shall turn over all data to the State including images, logs, and current procedures at the end of the contract.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.9	The SP shall turn over all data to the State in a format that is non-encrypted, non-proprietary, and in accordance with CCSAS Automation Standards.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Implementation

IM 4.0 Turnover Management

Num	Statement of Work	Response
IM 4.10	The SP shall prepare closeout documentation to include but not limited to: 1) Support schedules 2) Requested and approved changes 3) SP developed technical documentation 4) Performance reports 5) Financial documents such as invoices and payment records 6) Results of any contract related inspections	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
IM 4.11	The SP shall participate with the State in close-out audit activities.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
OM 1.1	The SP shall develop and properly deliver the State approved Operations Management Plan (CDL OM 001). The SP shall conduct operational activities in accordance with the Operations Management Plan. The SP shall monitor operational activities to effect improvements and shall update the Operations Management Plan as necessary to document changes.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.2	<p>The SP shall electronically deliver Daily Operations Reports that summarize the daily collections and disbursement activities that were processed either manually or automatically during the day. The reports shall include data related to compensation. The reports shall be provided to the designated State contact by 8 AM Pacific Time of the following State business day. The SP shall make archived report data available to the State upon request. The format of the Daily Operations Reports is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <p>Date of Report: mm/dd/yyyy Reporting Period: mm/dd/yyyy</p> <p>All reported items are for current reporting period unless otherwise noted. For this report, the term identified means payments for which sufficient NCP identifying information is known</p> <p>Incoming Mail (by P.O. Box):</p> <ol style="list-style-type: none"> 1) Total Mail item count <ol style="list-style-type: none"> a) Subtotal item count of misdirected mail b) Subtotal item count of Non-negotiable payments <ol style="list-style-type: none"> i) Subtotal item count of CSP directed Non-negotiable payments ii) Subtotal item count of not CSP directed Non-negotiable payments c) Subtotal item count of Negotiable payment <ol style="list-style-type: none"> i) Subtotal item count of Negotiable CSP payment ii) Subtotal item count of Negotiable, but not a CSP payment d) Subtotal item count of returned disbursements e) Subtotal item count of refused payments 2) Total number of items with postage due and amount of postage due <p>Incoming by EFT/EDI:</p> <ol style="list-style-type: none"> 1) Total EFT/EDI item count <ol style="list-style-type: none"> a) Subtotal item count of employer EFT/EDI b) Subtotal item count of NCP EFT/EDI c) Subtotal item count of other state EFT/EDI <p>Incoming by Credit Card:</p> <ol style="list-style-type: none"> 1) Total NCP Credit Card item count 2) Total Employer Credit Card item count <p>Non-IV-D Cases:</p> <ol style="list-style-type: none"> 1) Total item count Non-IV-D cases established and updated 2) Total number of notices printed and mailed by the SP to Non IV-D 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>participants</p> <p>3) Total Family Violence Indicator Request packets mailed. (added per CR-3-00032)</p> <p>Payment Batch Processing:</p> <p>1) Number of Batches Processed and total dollar amount</p> <p>2) Number of Batches Voided and total dollar amount</p> <p>3) For each processed batch</p> <p>a) Total dollar value per Batch</p> <p>b) Total item count</p> <p>c) Total item amount</p> <p>4) Batch Adjustments:</p> <p>a) Total Number of Adjustments and total dollar amount</p> <p>b) For each adjustment</p> <p>i) Batch Control Number</p> <p>ii) Reason for Adjustment</p> <p>iii) Who Made Adjustment</p> <p>iv) Who authorized the adjustment</p> <p>Payment Information Processing (all payment methods and sources)</p> <p>1) Total number of payments transmitted to CSE and Total dollar amount</p> <p>a) Subtotal number and Subtotal dollar amount of payments transmitted to CSE by payment method</p> <p>b) Subtotal number and Subtotal dollar amount of payments transmitted to CSE by payment source</p> <p>2) Total number of payments on hand not transmitted to CSE and Total dollar amount.</p> <p>a) Subtotal number and Subtotal dollar amount of payments on hand not transmitted to CSE by payment method</p> <p>b) Subtotal number and Subtotal dollar amount of payments on hand not transmitted to CSE by payment source A</p> <p>Unidentified Payments Processing:</p> <p>1) Total number of payments that fell out of CSE processing and total dollar amount</p> <p>2) Total number of payments not reported on Daily Operations Reports and total dollar amount</p> <p>3) Total number of unidentified payments that were identified during this reporting period and total dollar amount</p> <p>4) Number of correspondence items prepared to research payments exceptions</p> <p>5) Total number of payments researched and released to CSE and total dollar amounts</p> <p>6) Total unidentified payment inventory (number and dollar amount) aged over time</p> <p>Daily Deposits Made by SP in Each CTS Bank</p>	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>1) Total dollar amount deposited and not deposited, and the total number of payments deposited and not deposited</p> <p>a) Subtotal number payments deposited by SP and subtotal dollar amount deposited by payment method</p> <p>b) Subtotal number payments deposited by SP and subtotal dollar amount deposited by payment source</p> <p>c) Subtotal number payments not deposited by SP and subtotal dollar amount not deposited by payment method</p> <p>d) Subtotal number payments not deposited by SP and subtotal dollar amount not deposited by payment source</p> <p>2) Total number of foreign currency payments and total US dollar amount</p> <p>a) Subtotal number of foreign currency payments and subtotal US dollar amount by currency</p> <p>Electronic Deposits</p> <p>Matched Electronic Payments (payment information matches amount deposited)</p> <p>1) Total dollar amount deposited and total number of payments deposited</p> <p>a) Subtotal number electronic payments and subtotal dollar amount deposited by payment method</p> <p>b) Subtotal number electronic payments and subtotal dollar amount deposited by payment source</p> <p>Unmatched Electronic Deposits (corresponding payment information not available)</p> <p>1) Total dollar amount deposited and total number of payments deposited</p> <p>2) Remaining unmatched from previous days</p> <p>a) Date of deposit</p> <p>b) Subtotal dollar amount for a specific date</p> <p>c) Subtotal number of items deposited for a specific date</p> <p>Unmatched Electronic Payment Information (corresponding deposit not made)</p> <p>1) Total dollar amount reported and total number of payments reported</p> <p>2) Remaining unmatched from previous days</p> <p>a) Date information reported</p> <p>b) Subtotal dollar amount for a specific date</p> <p>c) Subtotal number of items deposited for a specific date</p> <p>Grand Total Payments Transmitted to CSE</p> <p>1) Total dollar amount and total number of payments transmitted to CSE</p> <p>EFT Reversals</p> <p>Matched Electronic Payments (either previously reported or reported in this reporting period) for which reversal has been requested during this reporting period</p> <p>1) Total number of reversals requested</p> <p>2) Total number of reversals completed</p> <p>3) Reversal Detail</p> <p>a) Tracking number</p>	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<ul style="list-style-type: none"> b) Date(s) c) Total dollar amount of electronic payment d) Number of detail items e) Number of detail items reversed f) Total dollar amount reversed <p>Unmatched Electronic Deposits (either previously reported or reported in this reporting period) for which reversal has been requested during this reporting period</p> <ul style="list-style-type: none"> 1) Total number of reversals requested 2) Total number of reversals completed 3) Reversal Detail <ul style="list-style-type: none"> a) Tracking number b) Date(s) c) Total dollar amount of electronic payment d) Number of detail items e) Number of detail items reversed f) Total dollar amount reversed <p>Unmatched Electronic Payment Information (either previously reported or reported in this reporting period) for which reversal has been requested during this reporting period</p> <ul style="list-style-type: none"> 1) Total number of reversals requested 2) Total number of reversals completed 3) Reversal Detail <ul style="list-style-type: none"> a) Tracking number b) Date(s) c) Total dollar amount of electronic payment d) Number of detail items e) Number of detail items reversed f) Total dollar amount reversed <p>Outstanding EFT Reversal Requests from Previous Reporting Periods</p> <ul style="list-style-type: none"> 1) Total number of outstanding reversals requested for month-to-date 2) Reversal Detail <ul style="list-style-type: none"> a) Tracking number b) Date(s) c) Total dollar amount of reversal d) Number of detail items <p>EFT Reversals Requested by the SP for this reporting period</p> <ul style="list-style-type: none"> 1) Total number of reversals requested 2) Total number of reversals completed 3) Reversal Detail <ul style="list-style-type: none"> a) Tracking number b) Date(s) c) Total dollar amount of reversal d) Number of detail items e) Entity request sent to <p>Outstanding EFT Reversal Requests made by SP from Previous Reporting Periods</p> <ul style="list-style-type: none"> 1) Total number of outstanding reversals requested for month-to-date 	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>2) Outstanding Reversal Detail</p> <ul style="list-style-type: none"> a) Tracking number b) Date(s) c) Total dollar amount of reversal d) Number of detail items <p>3) Total number of reversals completed for this reporting period</p> <p>4) Completed Reversal Detail</p> <ul style="list-style-type: none"> a) Tracking number b) Date(s) c) Total dollar amount of reversal d) Number of detail items <p>Insufficient Funds Payments</p> <p>1) Total dollar amount and Total number of items for which bank has reported insufficient funds</p> <ul style="list-style-type: none"> a) Subtotal dollar amount and number of items by Payment Method <p>2) Total dollar amount and total number of items for which SP has refused payment</p> <ul style="list-style-type: none"> a) Subtotal dollar amount and number of items by Payment Source <p>3) Number of correspondence items prepared to notify payor that payment has been refused</p> <p>Voids and Cancels (sorted by reason code)</p> <p>CSE requested voids and cancels</p> <p>1) Total dollar amount and total number of voids and cancels</p> <p>2) Total number and Total dollar amount of completed voids and cancels requested</p> <p>SDU initiated voids and cancels</p> <p>1) Total dollar amount and total number of voids and cancels</p> <p>2) Total number and Total dollar amount of completed voids and cancels</p> <p>Month-to-date outstanding voids and cancels</p> <p>1) Total dollar amount and total number of voids and cancels</p> <p>2) Outstanding Void and Cancel Detail</p> <ul style="list-style-type: none"> a) Tracking Number b) Amount of void or cancel c) Date Issued d) Date void/cancel requested by CSE e) Date SP notifies financial institution to void/cancel f) Reason for void/cancel <p>Disbursements for IV-D and Non IV-D</p> <p>Total IV-D Disbursements</p> <p>1) Total Dollar Amount and Total Number of items disbursed by source of disbursement instructions</p> <p>2) Total Dollar Amount and Total Number of items by disbursement method from disbursement instructions</p> <p>3) Total Dollar Amount and Total Number of items disbursed by SDU</p>	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>4) Total Dollar Amount and Total Number of items by disbursement method</p> <ul style="list-style-type: none"> a) Total Dollar Amount and Total Number of items disbursed by paper check b) Total Dollar Amount and Total Number of items disbursed by direct deposit c) Total Dollar Amount and Total Number of items disbursed to an EPC <ul style="list-style-type: none"> i) Total number of items disbursed to existing EPC ii) Total number of items disbursed and new EPC issued d) Total number of cards issued <p>5) Total IV-D Disbursements count and amount</p> <p>Total Non IV-D Disbursements</p> <ul style="list-style-type: none"> 1) Total Dollar Amount and Total Number of items to be disbursed from CSE disbursement instructions 2) Total Dollar Amount and Total Number of items by disbursement method from CSE disbursement instructions 3) Total Dollar Amount and Total Number of items disbursed by SDU 4) Total Dollar Amount and Total Number of items by disbursement method <ul style="list-style-type: none"> a) Total Dollar Amount and Total Number of items disbursed by paper check b) Total Dollar Amount and Total Number of items disbursed by direct deposit c) Total Dollar Amount and Total Number of items disbursed to a EPC <ul style="list-style-type: none"> i. Total number of items disbursed to existing EPC ii. Total number of items disbursed and new EPC issued d) Total number of cards issued 5) Total Non-IV-D Disbursements count and amount <p>Disbursement Account Balance</p> <ul style="list-style-type: none"> 1) Balance of Disbursement Account 2) Interest earned on Disbursement Account <p>Total Checks Cleared</p> <ul style="list-style-type: none"> 1) Total number of items of checks paid and total dollar amount <p>Outgoing Mail</p> <ul style="list-style-type: none"> 1) Total number of items mailed and total cost of postage <ul style="list-style-type: none"> a) Total number of disbursements mailed and total cost of postage b) Total number of correspondence mailed and total cost of postage 	
OM 1.3	The SP shall electronically deliver Monthly Operations Reports that summarize the monthly collections and disbursement activities that were processed either manually or automatically during the month. The reports shall include data related to compensation. The reports shall be provided to the designated State contact by 8 AM Pacific Time of the first State business day of each month beginning one month after operations start-up. The format of the Monthly	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>Operations Reports is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <p>Date of Report: mm/dd/yyyy Reporting Period: mm/01/xxxx – mm/31/yyyy</p> <p>All reported items are for current reporting period unless otherwise noted. For this report, the term identified means payments for which sufficient NCP identifying information is known.</p> <p>Incoming Mail (by P.O. Box):</p> <ol style="list-style-type: none"> 1) Total Mail item count <ol style="list-style-type: none"> a) Subtotal item count of misdirected mail b) Subtotal item count of Non-negotiable payments c) Subtotal item count of Negotiable payment d) Subtotal item count of Returned disbursements e) Subtotal item count of refused payments 2) Total number of items with postage due and amount of postage due <p>Incoming by EFT/EDI:</p> <ol style="list-style-type: none"> 1) Total EFT/EDI item count <ol style="list-style-type: none"> a) Subtotal item count of employer EFT/EDI b) Subtotal item count of NCP EFT/EDI c) Subtotal item count of other state EFT/EDI <p>Incoming by Credit Card:</p> <ol style="list-style-type: none"> 1) Total Credit Card item count <p>Non-IV-D Cases:</p> <ol style="list-style-type: none"> 1) Total item count Non-IV-D cases established and updated 2) Total item count of Non IV-D notices sent 3) Total number of notices printed and mailed by the SP to Non IV-D participants. 4) Total number of Family Violence Indicator Request packets mailed. (added per CR-3-00032) <p>Payment Batch Processing:</p> <ol style="list-style-type: none"> 1) Number of Batches Processed and total dollar amount <p>Payment Information Processing</p> <ol style="list-style-type: none"> 1) Total number of payments transmitted to CSE and Total dollar amount <ol style="list-style-type: none"> a) Subtotal number and Subtotal dollar amount of payments transmitted to CSE by payment method b) Subtotal number and Subtotal dollar amount of payments transmitted to by payment source 2) Total number of payments on hand and Total dollar amount <ol style="list-style-type: none"> a) Subtotal number and Subtotal dollar amount of payments on hand by payment method 	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>b) Subtotal number and Subtotal dollar amount of payments on hand by payment source</p> <p>Unidentified Payments Processing</p> <p>1) Total number of payments that fell out of CSE processing and total dollar amount</p> <p>2) Total number of payments not reported on Daily Operations Reports and total dollar amount</p> <p>3) Total number of payments that fell out of CSE processing that were identified during this reporting period and total dollar amount</p> <p>4) Number of correspondence items prepared to research payments exceptions.</p> <p>5) Total number of payments researched and released to CSE and total dollar amount</p> <p>6) Total unidentified payment inventory (number and dollar amount) aged over time</p> <p>Monthly Deposits Made by SP in Each CTS Bank</p> <p>1) Total dollar amount deposited and Total number of payments deposited</p> <p> a) Subtotal number payments deposited by SP and subtotal dollar amount deposited by payment method</p> <p> b) Subtotal number payments deposited by SP and subtotal dollar amount deposited by payment source</p> <p>2) Total number of foreign currency payments and total US dollar amount</p> <p> a) Subtotal number of foreign currency payments and subtotal US dollar amount by currency</p> <p>Electronic Deposits</p> <p>Matched Electronic Payments (payment information matches amount deposited)</p> <p>1) Total dollar amount deposited and total number of payments deposited</p> <p>Unmatched Electronic Deposits (corresponding payment information not available)</p> <p>1) Remaining unmatched Total dollar amount deposited and total number of payments deposited</p> <p>Unmatched Electronic Payment Information (corresponding deposit not made)</p> <p>1) Remaining unmatched Total dollar amount deposited and total number of payments reported</p> <p>Grand Total of Payments Transmitted to CSE</p> <p>1) Total dollar amount and total number of payments transmitted to CSE</p> <p>EFT Reversals</p> <p>Matched Electronic Payments (either previously reported or reported in this reporting period) for which reversal has been requested during this reporting period</p> <p>1) Total number of reversals requested</p> <p>2) Total number of reversals completed</p>	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>Unmatched Electronic Deposits (either previously reported or reported in this reporting period) for which reversal has been requested during this reporting period</p> <p>1) Total number of reversals requested</p> <p>2) Total number of reversals completed</p> <p>Unmatched Electronic Payment Information (either previously reported or reported in this reporting period) for which reversal has been requested during this reporting period</p> <p>1) Total number of reversals requested</p> <p>2) Total number of reversals completed</p> <p>Outstanding EFT Reversal Requests from Previous Reporting Periods</p> <p>1) Total number of outstanding reversals requested</p> <p>EFT Reversals Requested by the SP for this reporting period</p> <p>1) Total number of reversals requested</p> <p>2) Total number of reversals completed</p> <p>Outstanding EFT Reversal Requests made by SP from Previous Reporting Periods</p> <p>1) Total number of outstanding reversals requested</p> <p>2) Total number of reversals completed for this reporting period</p> <p>Insufficient Funds Payments</p> <p>1) Total dollar amount and Total number of items for which bank has reported insufficient funds</p> <p> a) Subtotal dollar amount and number of items by Payment Method</p> <p>2) Total dollar amount and total number of items for which SP has refused payment</p> <p> a) Subtotal dollar amount and number of items by Payment Method</p> <p>3) Number of correspondence items prepared to notify payor that payment has been refused</p> <p>Voids and Cancels (sorted by disbursement type and then by reason)</p> <p>CSE requested voids and cancels</p> <p>1) Total dollar amount and total number of voids and cancels</p> <p>2) Total number and Total dollar amount of completed voids and cancels requested</p> <p>SDU initiated voids and cancels</p> <p>1) Total dollar amount and total number of voids and cancels</p> <p>2) Total number and Total dollar amount of completed</p> <p>Disbursements for IV-D and Non IV-D</p> <p>Total IV-D Disbursements</p> <p>1) Total Dollar Amount and Total Number of items disbursed by source of disbursement instructions</p> <p>2) Total Dollar Amount and Total Number of items by disbursement method from disbursement instructions</p> <p>3) Total Dollar Amount and Total Number of items disbursed by SDU</p> <p>4) Total Dollar Amount and Total Number of items by disbursement method</p>	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>a) Total Dollar Amount and Total Number of items disbursed by paper check</p> <p>b) Total Dollar Amount and Total Number of items disbursed by direct deposit</p> <p>c) Total Dollar Amount and Total Number of items disbursed to a EPC</p> <p> i) Total number of items disbursed to existing EPC</p> <p> ii) Total number of items disbursed to new EPC issued</p> <p>5) Total IV-D Disbursements count and amount</p> <p>Total Non IV-D Disbursements</p> <p>1) Total Dollar Amount and Total Number of items to be disbursed from CSE disbursement instructions</p> <p>2) Total Dollar Amount and Total Number of items by disbursement method from CSE disbursement instructions</p> <p>3) Total Dollar Amount and Total Number of items disbursed by SDU</p> <p>4) Total Dollar Amount and Total Number of items by disbursement method</p> <p> a) Total Dollar Amount and Total Number of items disbursed by paper check</p> <p> b) Total Dollar Amount and Total Number of items disbursed by direct deposit</p> <p> c) Total Dollar Amount and Total Number of items disbursed to a EPC</p> <p> i) Total number of items disbursed to existing EPC</p> <p> ii) Total number of items disbursed to new EPC issued</p> <p>5) Total Non IV-D Disbursements count and amount</p> <p>Disbursement Account Balance</p> <p>1) Balance of Disbursement Account</p> <p>2) Total Interest earned on Disbursement Account</p> <p>Outgoing Mail</p> <p>1) Total number of items mailed and total cost of postage</p> <p> a) Total number of disbursements mailed and total cost of postage</p> <p> b) For each disbursement postage rate</p> <p> i) Total number of disbursements mailed</p> <p> ii) Total cost of postage</p> <p> c) Total number of correspondence mailed and total cost of postage</p> <p> d) For each correspondence postage rate</p> <p> i) Total number of correspondence mailed</p> <p> ii) Total cost of postage</p>	
OM 1.4	<p>The SP shall electronically deliver a State Annual Operations Report for 12 months ending June 30 that summarizes the annual collections and disbursement activities that were processed either manually or automatically during the year. The report shall be provided to the designated State contact by within 2 State business days following the end of the period. The format of the Annual Operations Report is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p>	<p><input checked="" type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<p>Date of Report: mm/dd/yyyy Reporting Period: 07/01/xxxx – 06/30/yyyy</p> <p>All reported items are for current reporting period unless otherwise noted.</p> <p>Completed Tasks</p> <ol style="list-style-type: none"> 1) Incoming Mail 2) Outgoing Mail 3) Number Payment Batches Processed 4) Number Payments Processed 5) Number of EFT Payments Received 6) Number of Credit Card Payments Received 7) Number of Deposits and Total Amount 8) EFT Payments Reconciled 9) NSF Reported by Bank 10) Payments Refused pursuant to CSE Instructions 11) Total Payments Reported to CSE 12) Disbursements pursuant to CSE Instructions <ol style="list-style-type: none"> a. Checks b. EPC c. Direct Deposit <p>Outstanding Tasks</p> <ol style="list-style-type: none"> 1) Outstanding Payments on CSE Exceptions Processing 2) Outstanding EFT Un-reconciled 	
OM 1.5	<p>The SP shall electronically deliver a Federal Annual Operations Report for 12 months ending September 30 that summarizes the annual collections and disbursement activities that were processed either manually or automatically during the year. The report shall be provided to the designated State contact by within 2 State business days following the end of the period. The format of the Annual Operations Report is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <p>Date of Report: mm/dd/yyyy Reporting Period: 10/01/xxxx – 09/30/yyyy</p> <p>All reported items are for current reporting period unless otherwise noted.</p> <p>Completed Tasks</p> <ol style="list-style-type: none"> 1) Incoming Mail 2) Outgoing Mail 3) Number Payment Batches Processed 4) Number Payments Processed 5) Number of EFT Payments Received 6) Number of Credit Card Payments Received 7) Number of Deposits and Total Amount 8) EFT Payments Reconciled 	<p><input checked="" type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	9) NSF Reported by Bank 10) Payments Refused pursuant to CSE Instructions 11) Total Payments Reported to CSE 12) Disbursements pursuant to CSE Instructions <ol style="list-style-type: none"> Checks EPC Direct Deposit Outstanding Tasks <ol style="list-style-type: none"> Outstanding Payments on CSE Exceptions Processing Outstanding EFT Un-reconciled 	
OM 1.6	The SP shall provide an SDU Quarterly Performance Report (CDL OM 002).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.7	The SP shall capture and maintain detailed collection and disbursement data for reporting purposes. The SP reporting capability shall provide the ability to: <ol style="list-style-type: none"> Produce pre-defined, customized and ad-hoc reports to support audits and trend analyses of CSP collection and disbursement services Deliver reports electronically Print reports on letter size paper 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.8	The SP shall maintain controls and records which conform to the standards described in the OCSE SDU Auditing Guide, June 2003 such as SAS 55 and SAS 60 (see http://www.acf.hhs.gov/programs/cse/stsys/ref/dc10317a.htm). The controls and records include, but are not limited to: <ol style="list-style-type: none"> Maintenance of accurate audit trails Separation of functions Checks and balances. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.9	The SP shall protect IRS data in accordance with federal requirements.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.10	The SP shall use USPS post office boxes owned by the State as a means of sorting mail by type: <ol style="list-style-type: none"> Employer payments Interstate payments Obligor payments Returned disbursements from payees Returned disbursements from other states 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
OM 1.11	The SP shall establish timeframes for the daily pickup and delivery of mail.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.12	If using a method of mail delivery other than the U.S. Postal Service, the SP shall use a bonded courier service to pick up and deliver mail.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.13	The SP shall maintain a Mail Pick-up and Delivery Log of mail pick-ups and deliveries including the unit count of mail (bags, trays, etc.) by pick-up or delivery address, operator identifier, and the time of pick-up or delivery (including overnight deliveries). The Mail Pick-up and Delivery Log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.14	The SP shall maintain a Mail Exception Log to record the disposition of mail (e.g. misdirected, non-negotiable, or CSP non-payment related correspondence) removed from payment processing prior to the creation of payment batches. The Mail Exception Log shall include, but is not limited to, date, a description of the mail item, reason for removal, operator identifier, and disposition of mail item. The Mail Exception Log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.15	The SP shall establish and maintain cash handling controls during the opening of mail.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.16	The SP shall sort through the mail prior to opening the envelopes to identify and remove envelopes that are not addressed to the SDU. All misdirected envelopes must be returned to the U. S. Postal Service on the same day as received.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.17	The SP shall identify and return all payments received from employers and NCPs whose payments, after mail opening, have been determined to be misaddressed. These misaddressed payments shall be returned to the payer, along with correspondence explaining the reason, on the same day as received.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.18	The SP shall ensure that all envelopes are empty prior to their destruction.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.19	The SP shall index images based on the type of document such as payments	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	and correspondence received and correspondence sent out. The SP shall provide the ability for authorized users to have online access to search and retrieve specific images using search criteria including date, timestamp, image identifier and/or any other indices developed for image tracking.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.20	The SP shall date and timestamp each image and shall assign a unique identifier that is viewable with the image.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.21	The SP shall establish and implement a method for verifying image quality and shall re-image as necessary to achieve readable images.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.22	The SP shall make online access to images available to the LCSA, CSE application and other authorized users for 6 months from the date of image. The images captured shall be made available to authorized users within 4 hours following transmission of the related collection transaction data to CSE.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.23	The SP shall archive images in non-proprietary standard media format and provide retrieval of archival images within 24 hours upon request by authorized users.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.24	The SP shall not use data collected to process collections and disbursements for personal gain or any use beside that specified in the contract.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.25	The SP shall work together with the State and the CSE BP to provide system functionality and procedures to guard against duplication of effort in resolving unidentified payments.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.26	The SP shall electronically exchange data with the CSE Version 1, Version 2, ARS and CASES consortia as defined in the CSE/SDU Interface Design Description (IDD) (CSE CDL TM 030), the CASES FRDD, and ARS FRDD.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.27	The SP shall provide collection and disbursement services that can be sized to meet increasing collections and disbursement volumes and demands.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.28	The SP shall establish a Help Desk to assist employers using electronic media in determining the media and formats to be used to provide payment data to	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	the SDU.	<input type="checkbox"/> No
OM 1.29	<p>The SP shall perform outreach to employers to achieve the electronic payment goals and promote the use of electronic collections and disbursement methods. At a minimum, the outreach efforts shall include the following:</p> <ol style="list-style-type: none"> 1) Bi-annually, the SP shall mail EFT/EDI enrollment information and instructions to employers not currently using EFT/EDI for payment. 2) Annually, the SP shall attend and participate in two employer-focused conferences, such as American Payroll Association conferences. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.30	Prior to CSE System implementation, the SP shall enter Non IV-D wage withholding order and support order data into the NICE database. Once the data has been converted by the BP from the NICE database to the CSE System, the SP shall continue to enter the required Non-IV-D data into the CSE System.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.31	The SP shall compare the Non IV-D data captured with the data in the NICE database to identify existing data and shall update the data and create new records as necessary and appropriate. When the Non IV-D data has been converted from the NICE database to the CSE System, the SP shall rely on and use the CSE System to identify existing Non IV-D data and shall update the data and create new records as necessary and appropriate.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.32	The SP shall accept deliveries of overnight mail from authorized persons.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.33	The SP shall utilize the forwarding address service of the USPS to receive forwarding address information from returned mail with no offsetting fee to the State	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.34	Except for the fees described below, the Service Provider shall be responsible for all costs and fees associated with the collection and disbursement process, whether paper or electronic, including but not limited to credit card payment processing fees and bank fees including all related charges. The Service Provider shall not be liable for the fees related to the State owned accounts (MISC-Sort is included in these fees). SP may charge remitters of payment through credit card a convenience fee (CDL OM 010). Such fee must be the lowest fee that is consistent with the costs related to accepting these payments. The SP or its Electronic Payment Card subcontractor may charge fees for overdrafts, emergency expedited overnight card replacement, and ATM withdrawal charges as provided in SOW DB 1.50 and CDL IM 017. The SP may charge a fee for sending foreign items identified by the State out for	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	collection	CR-3-00017-01
OM 1.35	The SP shall establish no later than implementation of SDU Operations, and continuing until transfer to the CSSC, a Non IV-D Customer Service Center to support Non IV-D communications, telephone calls and correspondence.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.36	Prior to implementation of the CSE Version 2, the SP shall print and mail case initiation and customer service Notices. Case initiation Notices shall be issued to all Non IV-D custodial parties and noncustodial parents beginning when the Wage Withholding Order information is converted to the CSE System. The case initiation Notices shall provide the custodial parties and noncustodial parents with the information they need to obtain information about their payments, including member or case identification numbers and how to access the Non IV-D Customer Service Center. Customer service Notices shall include account history, NSF and stale dated status and shall be issued as described in the SDU Outreach Plan (IM 015). All Notices to Non IV-D CPs and NCPs must be distinct and confidential so that the other party data is not disclosed to the recipient.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00013-01
OM 1.37	Prior to implementation of the CSE Version 2, the SP shall print and mail information to Non IV-D custodial parties and noncustodial parents consistent with the SDU Change Management Plan (IM 015). All notices to Non IV-D CPs and NCPs must be distinct and confidential so that the other party data is not disclosed to the recipient.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.38	The SP shall provide the activities and services to support the redirection of IV-D and Non IV-D employer and noncustodial parent payments, including the printing and mailing of redirect notices and working with employers and noncustodial parents that fail to comply with the redirect.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.39	The SP shall establish a program to achieve full paperless disbursement by December 31, 2007. All custodial parties, with limited exceptions, shall receive disbursements via direct deposit or Electronic Payment Card.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.40	The SP shall perform outreach to custodial parties to achieve the electronic payment goals and promote the use of electronic processes for disbursements. The outreach shall be consistent with the State accepted SDU Outreach Plan (IM 015) and Electronic Disbursement Implementation and Management Plan (IM 017).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00013-01
OM 1.41	The SP shall conduct the appropriate activities to achieve the State's goal of having a mandatory employer EFT/EDI program by December 31, 2006. Activities shall include written correspondence and telephone contacts. Employers that are required to submit payments to FTB and/or EDD via EFT/EDI will be required to submit wage withholding payments by the same	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	method. The SP shall report employers that fail to comply to DCSS in a manner consistent with the State accepted SDU Outreach Plan (IM 015) and Electronic Disbursement Implementation and Management Plan (IM 017).	updated per CR-3-00013-01 and CR-3-00027-01
OM 1.42	The SP shall provide the SP's schedule of credit card convenience fees (CDL OM 010) for State review and acceptance.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.43	If the SP elects to use a VRU/IVR, the SP shall coordinate and gain approval of the VRU/IVR for the Non IV-D CSC and/or the Help Desk option trees with the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.44	If the SP elects to use a VRU/IVR, for the Non IV-D CSC and/or the Help Desk the SP shall ensure customers can access the desired help and speak to a service provider in three screening tiers or less.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.45	If the SP elects to use a VRU/IVR, for the Help Desk the SP shall ensure the CSSC staff can directly access or directly transfer a customer to the Help Desk staff without going through the VRU/IVR.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.46	<p>The SP shall electronically deliver a Monthly Help Desk and Non IV-D Customer Service Center (CSC) Report that summarize monthly call, Help Desk ticket and CSC service request statistics. The reports shall be provided to the designated State contact by 8:00 AM Pacific Time of the fifth State business day of each month beginning one month after Help Desk and Non IV-D Customer Service Center start-up. The monthly Help Desk statistics shall be provided for the duration of the SP contract and during both V1 and V2 of CSE. The Non IV-D Customer Service Center statistics shall be reported from implementation of the Non IV-D Customer Service Center until the transfer of Non IV-D customer service to the CSSC in V2 of CSE. The format of the Monthly Help Desk and Non IV-D Customer Service Center Report is at the discretion of the SP with State review and approval and shall include, but is not limited to, the following information:</p> <p>Date of Report: mm/dd/yyyy Reporting Period: mm/01/yyyy – mm/31/yyyy</p> <p>All reported items are for current reporting period unless otherwise noted.</p> <p>Help Desk</p> <ol style="list-style-type: none"> 1) Monthly total number of incoming calls <ol style="list-style-type: none"> a. Number of calls per day b. Average number of calls per day 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	<ul style="list-style-type: none"> 2) Monthly number of calls dropped <ul style="list-style-type: none"> a. Number of calls dropped per day b. Average number of calls dropped per day 3) Monthly number of calls meeting call wait time <ul style="list-style-type: none"> a. Daily average call wait time b. Monthly average call wait time 4) Monthly number of tickets opened <ul style="list-style-type: none"> a. Number of tickets opened per day b. Average number of tickets opened per day 5) Monthly number of tickets closed <ul style="list-style-type: none"> a. Number of tickets closed per day b. Average number of tickets closed per day 6) Number of calls meeting call back time (V2) 7) Number of calls not meeting call back time (V2) 8) Daily average call back time (V2) 9) Monthly average call back time (V2) <p>Non IV-D Customer Service</p> <ul style="list-style-type: none"> 1) Daily/Monthly total number of incoming calls (All calls reaching the queue during a 24 hour period, including weekends and holidays) <ul style="list-style-type: none"> a) Number of calls per day b) Average number of calls per day c) Numbers of callers assisted by an agent d) Number of callers assisted by recorded messages, if the SP uses an IVR/VRU e) Average talk time per call f) Average time spent listening to recorded messages, if the SP uses an IVR/VRU g) Number of callers receiving busy signals and timeframes when busy signals are received h) Number of callers listening to messages outside of standard office hours, if the SP uses an IVR/VRU i) System utilization (number of calls during office hours and outside of standard office hours, times and days when calls are made, etc.) 2) Monthly number of calls abandoned (hang-ups) <ul style="list-style-type: none"> a) Number of calls abandoned per day b) Average number of calls abandoned per day c) Average time the caller is waiting before hanging up while waiting for assistance from an agent d) Number of callers who hang up prior to listening to recorded messages, if the SP uses an IVR/VRU e) Number of callers who hang up while waiting in the queue for assistance from an agent 3) Monthly number of calls meeting call wait time <ul style="list-style-type: none"> a) Daily average call wait time for caller waiting for assistance from an agent 	

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
	4) Number of agents available to respond to calls a) Average talk time per agent b) Average wrap up time per agent c) Average number of agents available to assist callers 5) Types of calls a) Number of calls by type (coding to capture call type) b) Number of referrals to other entities (coding to capture referral entities) c) Frequently asked questions or call types Quality Control 1) Number of calls monitored vs. number of calls received 2) Number of monitored calls meeting quality requirements (requirements to be defined by SP with State approval)	
OM 1.47	The SP shall track Help Desk and Non IV-D Customer Service Center telephone calls capturing the data required to fulfill the reporting requirements of OM 1.46.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 1.48	The SP shall print outreach and electronic payment processing materials consistent with the SDU Outreach Plan (IM 015) and the Electronic Disbursement Implementation and Management Plan (IM 017).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00013-01
OM 1.49	The SP shall establish a nationwide toll free number for the Help Desk and the Non IV-D Customer Service Center.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 1.0 General Operations Management

Num	Statement of Work	Response
OM 1.50	<p>The SP shall provide access to SDU services in the language of persons with limited English proficiency in accordance with the requirements of the Dymally-Alatorre Bilingual Services Act (Government Code 7290 et seq.). The SP shall, at a minimum, offer Non IV-D Customer Service Center and SDU Electronic Help Desk services and communications in the following languages in addition to English:</p> <ol style="list-style-type: none"> 1) Spanish 2) Vietnamese 3) Cantonese 4) Hmong 5) Russian 6) Armenian <p>On all notices specified by the State and printed by the SP, the SP shall use the State approved language footer to support the six languages. The SP shall produce all notices specified by the State in English and when appropriate in Spanish. SP shall utilize Spanish translations provided by the State</p>	<p><input checked="" type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>Updated Per CR-3-00030-01</p>
OM 1.51	The SP shall capture direct deposit data for CASES counties and load data into CSE V1 (SWS).	CR-3-00032
OM 1.52	The SP shall develop an interface with the Office of the State Controller to provide daily audit files supporting DCSS claim schedules for disbursements.	CR-3-00032
OM 1.53	The SP shall create one physical and one logical record for each IDB collections record received and apply the FIPs code.	CR-3-00032
OM 1.54	The SP shall interface with the Child Support Recovery collections system.	CR-3-00032
OM 1.55	The SP shall support producing and mailing family violence questionnaire packets to participants as a result of a Non IV-D CP or NCP request.	CR-3-00032
OM 1.56	The SP shall provide help desk services to authorized DCSS and LCSA employees that must access SDU systems	CR-3-00020

Statement of Work Matrix

Operations

OM 2.0 Personnel, Staffing and Training

Num	Statement of Work	Response
OM 2.1	The SP shall conform to the Code of Federal Regulations, Separation of Cash Handling and Accounting Functions to assure that persons responsible for handling cash receipts of support do not participate in accounting or operating functions which would permit them to conceal in the accounting records the misuse of support receipts. Such methods of administration shall follow generally recognized accounting standards.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.2	<p>The SP shall restrict an individual's responsibility to one of three SDU transaction components: authorization, custody, and recordkeeping. Specific segregation of duties include:</p> <ol style="list-style-type: none"> 1) Opening mail, preparing batches 2) Running an adding machine tape (or electronic spreadsheet) of checks in a batch and creating a batch on the system 3) Posting the batch, including unidentified collections 4) Depositing the collections 5) Preparing daily and monthly reconciliations 6) Working unidentified collections. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.3	Before commencing work with the SDU, existing and newly hired SP staff shall satisfactorily complete California confidentiality and disclosure training provided by the State. The SP shall maintain a record of training completed and make it available to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.4	Annually, SP staff shall satisfactorily complete California confidentiality and disclosure training arranged by the State. The SP shall maintain a record of training completed and make it available to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.5	The SP shall at the State's request designate staff who shall attend CSE training. At a minimum, this includes SP staff researching unidentified payments and SP staff attending the SDU Help Desk and Non IV-D Customer Service Center.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.6	The SP shall require that staff with access to, or control over funds, are covered by a bond in the amount of \$100,000 against loss resulting from employee dishonesty.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.7	The SP shall restrict all changes to master files to be authorized and initiated by persons independent of the data processing function.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 2.8	The SP shall utilize a system which shall provide that override capability or bypassing of data validation on editing problems must be restricted to supervisory personnel.	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

OM 2.0 Personnel, Staffing and Training

Num	Statement of Work	Response
		<input type="checkbox"/> No
OM 2.9	The SP shall establish mechanisms such that all system generated overrides [are] automatically logged by the application so that actions can be analyzed for appropriateness and correctness.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 3.0 Financial Audits and Quality Assurance

Num	Statement of Work	Response
OM 3.1	The SP shall develop and properly deliver the SDU Quality Assurance Plan (CDL OM 004). The SP shall conduct quality assurance activities in accordance with the SDU Quality Assurance Plan. The SP shall monitor implementation activities to effect improvements and shall update the SDU Quality Assurance Plan in accordance with directions in CDL OM 004.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 3.2	The SP shall support State conducted audits and reviews of operational processes and activities to include providing requested information and system access to staff within the timeframes established by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 3.3	The SP shall review the results of State conducted operational audits and reviews, and at the request of the State, shall prepare an SDU Corrective Action Plan (CDL OM 003). The SP shall correct deficiencies in a timely manner and in accordance with the State approved SDU Corrective Action Plan (CDL OM 003).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 3.4	The SP shall conduct audits of accounting and control processes to verify proper control of Child Support Program monies and data and for compliance with the Guide for Auditing State Disbursement Units (OCSE DCL 02-06). The SP shall conduct the audits on a quarterly basis, unless otherwise approved by the State. The first audit shall be conducted three months after the first production implementation. The SP shall document the audit findings and notify the State that an audit was conducted. The SP shall make the findings available to the State and shall prepare an SDU Corrective Action Plan (CDL OM 003) as requested by the State. The SP shall correct deficiencies in a timely manner and in accordance with the State approved SDU Corrective Action Plan (CDL OM 003).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 3.5	The SP shall contract for annual independent audits of financial data and accounting processes to verify proper control of Child Support Program monies and data and compliance with the Guide for Auditing State Disbursement Units (OCSE DCL 02-06). The SP shall bear the cost of the independent audits. The results of these audits shall be provided to the State in a written report. Audit documentation shall be made available to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 3.6	Upon the transfer of the Non IV-D Customer Service Center functions to the CSSC, the SP shall provide toll free access to the SDU Help Desk and direct assistance to LCSAs and other authorized CSP users.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
OM 4.1	The SP shall use automated procedures, electronic processes, and computer driven technology to the maximum extent feasible, efficient, and economical, for the collection and disbursement of support payments.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.2	The SP shall prepare a System Security Plan in accordance with CDL OM 006.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.3	The SP shall conduct risk analysis quarterly beginning five months after State acceptance of the System Security Plan (CDL OM 006)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.4	The SP shall conduct risk analysis to measure the system's vulnerability to fraud or theft, loss of data, physical destruction, unauthorized access, intrusion, and harm to agency activities.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.5	The SP shall perform special evaluations whenever a significant change to the system's physical security, hardware or operating system software occurs.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.6	The SP shall document the results of the risk analysis in accordance with the SDU Security Assessment Report (CDL OM 007).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.7	The SP shall implement process and data integrity mechanisms to perform initial edit/validation checks, including numeric and character checks and cross references, to ensure the accuracy and completeness of fields.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.8	The SP shall implement process and data integrity mechanisms to ensure the validity of data entered in the system and generate error/edit reports.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.9	The SP shall implement mechanisms to maintain an audit trail for all transactions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
OM 4.10	The SP shall record supervisor override and bypass events in the Override and Bypass Log. The Override and Bypass Log shall contain sufficient information to determine who authorized the change, the date/time of the change, and reason for the change. The Override and Bypass Log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.11	The SP shall establish system security mechanisms such that system, terminal, and password identifications [are] controlled, randomly selected, and uniquely identify the system user.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.12	The SP shall establish system security mechanisms such that password security must extend to the functional screen level and limit the user's capability to view and/or update those screens.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.13	The SP shall establish system security mechanisms such that the system must automatically require the system user to change passwords periodically.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.14	The SP shall provide security levels for access to records and files and utilize automatic sign-off techniques.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.15	The SP shall develop and implement procedures for system and terminal user identification assignment, maintenance, and cancellation of access rights. Delegation and maintenance of the password system must be limited to a select number of people; and a mechanism must be in place to quickly notify those responsible when there are personnel changes. SP shall accept and load a file containing the first and last names and associated functions for State and LCSA workers and system administrators, who will need access to the SDU collections and disbursement engines, into the appropriate SDU modules and return a file to the State with user Ids and passwords for each user.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00022-01 and CR-3-00032
OM 4.16	The SP shall implement security measures to detect, report, and lock unauthorized attempts to gain access to system software and data.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.17	The SP shall ensure that IRS data acquired by the system must be protected from unauthorized inquiries and must [keep IRS data] in a separate data file if necessary to ensure its security.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
OM 4.18	The SP shall maintain an auditable record of all changes to critical records and/or data fields including identification of the responsible system user and date/time of the change.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.19	The SP shall routinely [monitor] the access to use of the automated system.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.20	The SP shall facilitate that an audit trail of all operating system actions must be maintained either on the automatic console log or on the computer system's job accounting file.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.21	The SP shall limit access to system utility programs to necessary individuals with specific designation.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.22	The SP shall implement process and data integrity mechanisms to generate record counts to validate the completeness of data processed.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.23	The SP shall implement process and data integrity mechanisms such that rejected data is automatically written to a suspense file and a record count made.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.24	The SP shall participate in CSE disaster recovery activities, including testing, to restore functionality to the CSE/SDU interface to ensure data integrity and continuity between the CSE and SDU systems.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.25	<p>The SP shall provide a disaster recovery time within 48 to 72 hours. The essential business operations that must be provided include, but are not limited to :</p> <ol style="list-style-type: none"> 1) Mail processing 2) Imaging 3) Collection processing, including posting, depositing fund, batch processing 4) Disbursement processing 5) Reconciliation 6) All interface necessary to carry out payment processing 7) Customer Service-IVR 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
OM 4.26	The SP shall conduct disaster recovery activities in accordance with the Disaster Recovery Plan (CDL OM 005).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.27	The SP shall provide and properly deliver, an approved Disaster Recovery Plan (CDL OM 005) which provides detailed actions to be taken in the event of a natural disaster (fire, water damage, etc.) or a disaster resulting from negligence, sabotage, mob action, etc.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.28	The SP shall exercise the Disaster Recovery Plan (CDL OM 005) semi-annually, commencing with the first production implementation.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.29	The SP shall maintain a listing of retention periods for all application and operating system files and program versions. The SP shall make this listing available to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.30	The SP shall retain in a form retrievable through automated system recovery and restore procedures, a 3 years automated history of all databases off-site.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.31	The SP shall have, or be supported by, an automated recovery and restore capability in case of system malfunction or hardware/software failure.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.32	The SP shall create, store, and maintain back-ups of the SDU system files, programs, documentation, data files, etc. off-site in secure, waterproof, earthquake-proof, and fireproof facilities in accordance with ACF H-5(f) and consistent with the CCSAS CSE Disaster Recovery Plan (CSE CDL TM 090) and the SDU Disaster Recovery Plan for SDU Services (CDL OM 005).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.33	The SP shall retain back-ups files for time periods specified in the CCSAS CSE Retention Control Document (CSE CDL TM 089).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.34	<p>The SP shall retain for at least 4 years and 4 months from the date of case closure, in an accessible form, electronic records consisting of:</p> <p>1) Payment data 2) Supporting data</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
	3) Previously Produced Reports 4) Statistical and all other pertinent data 5) Images	
OM 4.35	The SP shall maintain and store payment related source documents until they are imaged and indexed. The hard copy shall be destroyed when it is known that a readable image has been captured.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.36	The SP shall destruct confidential information, envelopes, other paper media, and electronic media in accordance with State policy (CDL CO 001-1, CDL CO 001-2).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.37	The SP shall perform authentication at various system levels including computer-to-computer authentication, database authentication, and data transport authentication.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.38	The SP shall implement a security response mechanism that provides automatic responses to security threats, including misuse of internal network resources and external network attacks. Responses may include alarms and termination of connection.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.39	The SP shall implement automated virus detection on incoming and outgoing data and shall maintain current virus definitions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.40	The SP shall encrypt data that is transmitted outside the SDU facility, excluding data transmitted over the HHSDC WAN.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00002
OM 4.41	The SP shall connect and communicate with the HHSDC WAN using TCP/IP protocol.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.42	The SP shall use the HHSDC WAN and shall connect to the WAN at the Point of Presence established by the State at the SDU facility.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-3-00002
OM 4.43	The SP shall provide the capability to exchange data with the CSE using	

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
	asynchronous communication method(s). The asynchronous communication method(s) shall allow for the exchange of data with CSE on a flow basis so that the State obtains maximum flexibility and efficiency in meeting collection and disbursement timeframes.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.44	The SP shall conduct SDU/CSE transmission audits for the SDU transmission portion of the CSE/SDU interface. The SP shall establish a method, consistent with the CSE/SDU IDD (CSE CDL TM 030), to verify that the payment data counts and amounts transmitted to CSE are correct and that the disbursement instruction counts and amounts received from CSE are correct. The SP shall only execute the disbursement instructions that have passed the transmission audit. The SP shall make the audit results available to the State upon request.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.45	The SP shall conduct SDU/Consortia transmission audits for the SDU transmission portion of the SDU/Consortia interface for Version 1. The SP shall establish a method, consistent with the consortia specific FRDDs, to verify that the disbursement instruction counts and amounts received from the consortia are correct. The SP shall only execute the disbursement instructions that have passed the transmission audit. The SP shall make the audit results available to the State upon request.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.46	The SP shall provide automation for process management and process flow control. The process flow control should be exercised at the batch level at a minimum.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.47	The SP shall provide a dedicated domain for performing SDU services. The SP shall physically or logically separate the domain for SDU services from other domains within the SP's enterprise. The SP shall restrict access to the SDU domain to authorized users. The SP shall restrict traffic on the SDU domain to that which is required to perform SDU services. Any firewall established by the SP shall provide protection equivalent and consistent with that provided by HHSDC for the CCSAS Project.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.48	All information technology hardware, software, and firmware products utilized by the SP shall be able to accurately process date/time data (including, but not limited to calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1000 and 2000 and leap year calculations to the extent that other information technology, used in combination with the information technology being utilized, properly exchanges date/time data with it.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.49	The SP shall image and index non-payment correspondence and envelopes. After verifying that the images are readable, the SP shall provide access to images and send originals to destinations designated by the State including LCSAs, the Non IV-D Customer Service Center and CSSC, for further action.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 4.0 Systems Management

Num	Statement of Work	Response
OM 4.50	The SP shall provide the capability to: 1) Recover or restore any and all databases to a consistent state in the event of either a natural or technical disaster. 2) Automatically recover from system crashes (e.g., power outages) or server crashes.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.51	The SP shall develop and properly deliver an SDU Business Continuity Plan (CDL OM 009).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.52	The SP shall conduct business continuity activities in accordance with the SDU Business Continuity Plan (CDL OM 009).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 4.53	The SP shall designate an operations backup facility which must be capable of operating within 48-72 hours of any disaster.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 5.0 Facilities and Physical Security

Num	Statement of Work	Response
OM 5.1	The SP shall implement procedures and methods to prevent fraudulent manipulation of payment instruments.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.2	The SP shall segregate SDU functions into self contained areas to meet internal controls and separation of duties. Access to these work areas shall be controlled, and activities in operationally sensitive work areas shall be monitored by recorded video surveillance, 24 hours per day, 7 days per week, and recordings should be maintained for 30 days.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.4	The SP shall control access to the SDU facility, the SDU backup facility, the SDU printing facility, and the SDU Offsite Customer Service Overflow location, 24 hours per day, 7 days per week. The SP shall use physical intrusion detection devices at the SDU facility and report unauthorized intrusions or attempted intrusions to the State within two hours of occurrence.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00011-01
OM 5.5	The SP shall maintain an access log of persons entering and exiting the SDU facility, the SDU backup facility, the SDU printing facility, and the SDU Offsite Customer Service Overflow location . The log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00011-01
OM 5.6	The SP shall furnish the SDU facility with floor to ceiling walls between segregated functions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.7	The SP shall furnish the SDU facility, SDU backup facility, the SDU printing facility, and the SDU Offsite Customer Service Overflow location, with security doors that include a locking system such as card key locks or push button combination locks.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00011-01
OM 5.8	The SP shall use desks without drawers within the operations environment.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.9	The SP shall use an unmovable safe(s) for controlling access to the collection and disbursement assets.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.10	The SP shall maintain a Safe Access Log for each safe. The Safe Access Log shall indicate the individual who opened the safe, the date and time the safe was opened, and the individual who verified the safe was properly secured	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

OM 5.0 Facilities and Physical Security

Num	Statement of Work	Response
	after opening. The individual opening the safe shall not be the same individual verifying that the safe was properly secured. The Safe Access Log shall be available for inspection by the State.	<input type="checkbox"/> No
OM 5.11	The SP shall store cash or cash equivalent awaiting deposit in an unmovable safe.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.12	During nonworking hours, the SP shall store, in a safe(s), unprocessed mail, items awaiting deposit, and items awaiting disbursement.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.13	The SP shall store all disbursement supplies and materials in a secure area and shall store all negotiable materials in a safe.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.14	The SP shall conduct all payment processing activities that involve checks, money orders, etc, including the opening of mail, to take place within the SDU by authorized staff.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.15	The SP shall not identify the SDU facility, the SDU backup facility, the SDU printing facility, and the SDU Offsite Customer Service Overflow location, by signage or logos.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00011-01
OM 5.16	The SP shall provide all internal communication and network equipment for all internal SDU Operations (telephone lines, wiring for network, etc.).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.17	The SP shall report any security incidents on an urgent basis within 2 hours to the State's designated contact.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 5.18	The SP shall provide adequate space for unobstructed deliveries and pick up.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

OM 6.0 Problem Resolution and Change Control

Num	Statement of Work	Response
OM 6.1	The SP shall prepare a Problem Resolution Plan in accordance with CDL OM 008.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.2	The SP shall establish and implement problem reporting procedures in accordance with the Problem Resolution Plan (CDL OM 008).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.3	The SP shall notify the State within one hour of experiencing or identifying a problem that impacts SDU service levels and take action in accordance with the Problem Resolution Plan (CDL OM 008).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.4	The SP shall notify the designated State contact verbally of those problems identified that require immediate action.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.5	The SP shall maintain a log of operational problems and their resolutions. The log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.6	The SP shall report problems with the CSE/SDU interface to the State's designated contact.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.7	The SP shall provide a knowledgeable point of contact to serve as a technical liaison to CSE to resolve interface problems.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.8	The SP shall designate a single point of contact for reporting and coordinating the resolutions of technical and operational issues to the State. The designated contact shall be qualified to discuss problems and authorized to reach resolutions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.9	The SP shall notify the State in writing of proposed SDU changes or service delivery, to include changes to the network, facilities, infrastructure, equipment, and software. Changes shall not be implemented until authorized by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.10	The SP shall participate in the State's CCSAS Scope Management and Change Request Management processes including conducting impact analysis on proposed changes.	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

OM 6.0 Problem Resolution and Change Control

Num	Statement of Work	Response
		<input type="checkbox"/> No
OM 6.11	The SP shall establish, implement, and maintain change control procedures and processes to verify and validate changes to master files and application software.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.12	The SP shall implement change control procedures to ensure that only authorized changes are made to the application software and that these changes are fully tested, approved, and migrated into production in a controlled manner, and documented to provide an audit trail of all system maintenance.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.13	<p>The SP shall establish and maintain a Help Desk to provide assistance to employers, customers, other states, and authorized CSP users and authorized DCSS and LCSA employees that must access SDU systems (CR-3-00032. Assistance shall be provided regarding:</p> <ol style="list-style-type: none"> 1) Approved methods for submitting payments and payment data to the SDU electronically 2) Interstate transmission of payments 3) Electronic access of images by authorized DCSS and LCSA employees that must access SDU Systems (CR-3-00032). 4) Technical problems submitting payments 5) Receiving and processing EFT/EDI authorization and termination requests to commence or stop electronic payments and electronic deposits. 6) SDU Collections and Disbursement Systems (CR-3-00020) 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.16	The SP shall make the Version 1 and Version 2 Help Desk and the Version 1 Non IV-D Customer Service Center available 7 AM to 8 PM, Monday through Friday, excluding Federal holidays.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OM 6.17	Within 6 months from CSSC implementation and in coordination with the CSE BP, the SP shall transition the Help Desk and Non IV-D Customer Service Center toll free number to the CSSC.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
CO 1.1	The SP shall develop and properly deliver the SDU Collection Procedures (CDL CO 001-1, CDL CO 001-2). The SP shall perform collection processing activities in accordance with the SDU Collection Procedures. The SP shall monitor collection processing activities to effect improvements and shall update the SDU Collection Procedures in accordance with CDL CO 001-1, CDL CO 001-2.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.2	The SP shall provide financial controls for balancing and posting all payment transactions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.3	<p>The SP shall capture and maintain images, to include but not limited to:</p> <ol style="list-style-type: none"> 1) Payment instruments, envelopes and any other documents or correspondence provided with the payment 2) Non-payment related CSP correspondence received at the SDU 3) Correspondence prepared by the SP to explain why a payment or correspondence is being returned (e.g. non-negotiable, refused payment, and misaddressed payments) 4) Correspondence prepared by the SP to research unidentified payments 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.4	<p>The SP shall accept and uniquely identify all payments by assigning a unique receipt number. The SP shall capture and maintain data to provide an audit trail for each payment received, to include but not limited to:</p> <ol style="list-style-type: none"> 1) Depositor bank name, depository bank routing number, depository bank account # 2) The unique physical and logical receipt number assigned 3) The unique identifier of the associated image 4) Operator ID for the person processing the payment 5) Date and time processed 6) Batch Identification 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.5	The SP shall establish control mechanisms to include sorting payments by payment source, designating the number of payments contained within a batch, creating a batch header card that states the number of items and total dollar amount, recording the operator(s) identification number, and assigning a unique batch identifier.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.6	The SP shall record all adjustments to batches in a Batch Adjustment Log. The Batch Adjustment Log shall include, but is not limited to, date and timestamp of adjustment, operator identifier of person making adjustment, identifier of supervisor authorizing adjustment, reason for adjustment, and action taken. The Batch Adjustment Log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
CO 1.7	The SP shall encode all negotiable instruments following industry standards.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.8	The SP shall date stamp all negotiable instruments with the "Date of Collection" by the SDU and shall restrictively endorse all negotiable instruments "for deposit only" to the appropriate financial institution.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.9	The SP shall pre-sort checks by the designated State depository banks. The SP shall prepare and reconcile daily deposits for each of the State depository banks and the Misc-Sort deposit by 1:00 PM each State business day.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.10	The SDU must accept notification of checks returned unpaid from any financial institution or agency. The SP shall return non-negotiable CSP payments that are unacceptable for deposit. The SP shall prepare and mail correspondence to the payor to explain the reason for the refused payment. The SP shall establish and implement a method to associate the imaged correspondence with the payment image.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.11	The SP shall accept and apply instructions from the State to refuse checks from designated payors until the instructions are rescinded by the State. The SP shall return payments that are refused with correspondence to explain the reason for the refused payment. The SP shall establish and implement a method to associate the imaged correspondence with the payment image.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.13	<p>The SP shall capture and transmit payment data as required by the CSE system. This shall include the data present with a payment including but not limited to:</p> <ol style="list-style-type: none"> 1) NCP name 2) Member ID 3) NCP address 4) NCP SSN 5) CCSAS case number 6) Court order ID (Court Order ID shall be captured when provided and identified and limited to specific payment sources identified and approved by the State.) <ol style="list-style-type: none"> 1. Bankruptcy Trustee – Claim Against Bankruptcy Protection 2. Insurance Companies – CIIP Lien 3. Lien on Real/Personal Property 4. NCP – Lien (Civil Suit or Probate Case) 5. Security of Deposit of Assets/Security Deposit of Money 6. Workers Comp Lump Sum Lien 7. Workers Comp of Recurring Benefits (withholding) 8. Writ of Execution 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Updated per CR-C-00028-01

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
	9. Writ of Execution of Lump Sum Insurance Settlement 10. NCP – Judgment Debtor Examination Asset Turnover Order 7) 8) Amount of the payment, including both gross and net amounts due to the collection of fees 9) Date of Collection by the SDU 10) Method of payment (e.g. cash, check, EFT) 11) Interstate Date of Collection 12) Source of payment 13) Payment date 14) Receipt ID 15) Tracking data such as EFT transaction number 16) Employer data 17) SDU Receipt number 18) FIPS code	
CO 1.14	The SP shall send original documents that cannot be successfully imaged to destinations designated by the State including LCSAs, the Non IV-D Customer Service Center and CSSC, for further action.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.15	The SP shall convert foreign currency payments for currencies listed on the daily foreign exchange rate schedule and receipt in US dollars. The SP shall deposit the funds on the date of conversion. The effective exchange rate along with the foreign currency amount received shall be included with payment data transmitted to CSE. The SP shall send foreign currency payments for currencies not listed on the daily foreign exchange rate schedule out for collection as directed by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00017-01
CO 1.16	The SP shall maintain a foreign currency log containing payment details. The log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.17	The SP shall implement mechanisms to detect counterfeit currency and notify appropriate authorities. The SP shall not accept counterfeit currency.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.18	The SP shall, in accordance with the CSE/SDU IDD (CSE CDL TM 030), electronically interface with the Version 1 and Version 2 CSE to exchange payment data.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.19	The SP shall transmit payment data to the CSE that consists of the total daily deposits made by the SP and reconciled electronic deposits.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
CO 1.20	The SP shall generate documents required to support the deposit of payments/collections to financial institutions in accordance with written procedures.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.21	The SP shall accept and process unidentified and/or suspended payments and shall support the identification of such payments. The SP shall perform research on payments the CSE System has been unable to positively identify. The SP shall resolve unidentified payments and update the CSE System consistent with State business rules. The workload inventory of these unidentified payments resides on the CSE System.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.22	The SP shall use the State provided CSE System to add and correct information on unidentified payments and release corrected payments for allocation by the CSE System.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.23	The SP shall have a separate unit or designated person(s) with appropriate internal controls, separation of duties and level of authority not involved in processing of payments that handles unidentified collections.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.24	The SP shall prepare and maintain a deposit record(s) for deposits. These records shall be made available to the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.26	The SP shall maintain a log of courier deposit receipts for each deposit delivered to the CTS banks. The log shall include unit counts and amounts.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.27	The SP shall reconcile payments received at the SDU at the following payment processing points: 1) Conclusion of batch processing 2) Prior to deposit 3) Prior to transmitting data to CSE 4) Upon receipt of bank deposit documentation.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.28	The SP shall reconcile electronic deposits with the associated payment data. The SP shall report only reconciled electronic deposits to the CSE.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.29	The SP shall designate an official with authority to review and approve payment reconciliations and resolve discrepancies. This individual shall not be	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
	involved with payment processing.	<input type="checkbox"/> No
CO 1.30	The SP shall ensure that bank reconciliations are reviewed and approved in writing by the appropriate official. An authorized official should resolve any discrepancies within a reasonable time period after the discrepancies have been noted. All unaccounted for variances should be immediately reported to the appropriate supervisor. Exception reports for any part of the process must be resolved and signed off by the appropriate supervisor.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.31	The SP shall accept payments from employers that contain multiple obligors and generate a record or transaction at the payment and obligor level.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.32	<p>The SP shall receipt and process payments from a variety of payment sources (entities and enforcement actions). Not all sources may be applicable in Version 1. Payment source entity or person/enforcement action designations may, but are not limited to include:</p> <ol style="list-style-type: none"> 1) Bankruptcy Trustee - Child Support Claim Against a Bankruptcy Protection Plan 2) Board of Equalization (BOE) - Sales Tax Intercept 3) California State Lottery - California State Lottery Intercept 4) CP - Voluntary Repayment of Overpayment 5) CP - Court Ordered Repayment of Overpayment 6) Department of Industrial Relations - Workers Compensation Lump Sum Lien 7) Department of Industrial Relations - Workers Compensation of Recurring Benefits 8) Department of Treasury - IRS Full Collection 9) Department of Treasury Financial Management Service - IRS Tax Intercept 10) Department of Treasury Financial Management Service - Salary Offset 11) Department of Treasury Financial Management Service - Vendor Payment Offset 12) Department of Treasury Financial Management Service - Retirement Offset 13) Department of Treasury Financial Management Service - Administrative Offset 14) Employer - Wage Withholding or Wage Assignment 15) Employer - Earnings Withholding Orders 16) Employment Development Department (EDD) - Unemployment Insurance Benefit Intercept 17) Employment Development Department (EDD) - Disability Insurance Benefit Intercept 18) Financial Institutions - Writ of Execution 19) Financial Institutions - Bonds (Security Deposit of Assets or Money) 20) Franchise Tax Board (FTB) - California State Tax Intercept 21) Franchise Tax Board (FTB) - Wage Withholding or Wage Assignment 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
	<p>Served by Non Tax Debt Collection of Child Support Program</p> <p>22) Franchise Tax Board (FTB) - Administrative Writ of Execution by Non Tax Debt Collection of Child Support Program</p> <p>23) Insurance Companies - California Insurance Intercept Program Withholding</p> <p>24) Insurance Companies - California Insurance Intercept Program Lien</p> <p>25) Insurance Companies - Writ of Execution of Lump Sum Insurance Settlement</p> <p>26) Insurance Companies - Wage Withholding Order on Recurring Insurance Payments</p> <p>27) Insurance Companies - Security Deposit (Bonds)</p> <p>28) Military - Voluntary Military Allotments</p> <p>29) Military - Wage Withholding or Wage Assignment</p> <p>30) Military - Earnings Withholding Order</p> <p>31) Non Custodial Parent (Obligor) - Regular Payments</p> <p>32) Non Custodial Parent (Obligor) - Voluntary Payment (Prior to Court Order)</p> <p>33) Non Custodial Parent (Obligor) - Lien Filed Against Civil Suit or Probate Case</p> <p>34) Non Custodial Parent (Obligor) - Judgment Debtor Examination Asset Turn Over Order</p> <p>35) Non Custodial Parent (Obligor) - Criminal Contempt [PC270] Purge Payment</p> <p>36) Non Custodial Parent (Obligor) - Civil Contempt Purge Payment</p> <p>37) Other Jurisdictions - Other State Collections Sent to California</p> <p>38) Other Jurisdictions - Alaska Pipeline Fund Intercept</p> <p>39) Public Employees Retirement System (PERS) - PERS Retirement Intercept</p> <p>40) Secretary of State - Personal Property Lien</p> <p>41) Sheriff / Marshall's Office - Writ of Execution on Assets [Seizure]</p> <p>42) Sheriff / Marshall's Office - Writ of Execution on Merchant Earnings [Till Tap, Till Keeper]</p> <p>43) Title Company - Real Property Liens</p> <p>44) Union - Writ of Execution on Vacation Funds</p> <p>45) Union - Wage Withhold or Wage Assignments</p>	
CO 1.33	The SP shall provide the ability to accept child support payments in a variety of payment methods, to include but not limited to cash, check, EFT, credit card, direct withdrawal, money order, and wire transfers.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.34	<p>The SP shall electronically receive payment data from the following intercept agencies:</p> <p>1) Department of Treasury Financial Management Service</p> <p>2) California Employment Development Department</p> <p>3) Franchise Tax Board</p> <p>4) California State Lottery</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.35	The SP shall accept income withholdings and interstate child support collections transmitted in both the CCD+ and CTX NACHA payment formats (full CTX 820 remittance format) and no other formats.	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
		<input type="checkbox"/> No
CO 1.36	The SP shall receive information regarding income withholding which is electronically transmitted by the employer to the State's bank. For this requirement, State's bank shall mean a financial institution designated by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.37	The SP shall process EFT/EDI transactions from employers who choose, or are required, to submit income withholdings electronically.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.38	The SP shall process EFT/EDI transactions from States who choose to transmit interstate collections electronically.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.39	The SP shall process EFT/EDI transactions in conformance with the requirements defined by the National Automated Clearinghouse Association (NACHA).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.40	The SP shall accept income withholdings and interstate child support collections and corresponding remittance data transmitted using the NACHA EFT/EDI standard format for child support collections [the Child Support Application Banking Convention].	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.41	The SP shall not process incoming EFT reversals automatically. They shall be processed manually following procedures to be determined by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.42	The SP shall accept and process EFT/EDI authorization and termination requests to commence or stop electronic payments. The authorization or termination will be initiated by close of business the day after being received.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.43	The SP's Help Desk shall assist employers in determining the electronic media and formats to be used to provide payment data to the SDU. The SP shall accept data from employers that use the SDU required EFT/EDI transaction in conformance with the requirements defined by the National Automated Clearinghouse Association (NACHA).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.44	The SP shall process direct payment transactions using the Prearranged Payment and Deposit (PPD) National Automated Clearinghouse Association (NACHA) payment format.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
CO 1.45	The SP shall establish and implement a method to associate the unique receipt number with the payment image.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.46	The SP shall accept notification of checks returned unpaid. The SP shall provide notification to the CSE system of any checks returned unpaid (e.g. returned as non-negotiable or for insufficient funds).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.47	The SP shall record all adjustments to electronic payments in an Electronic Payment Adjustment Log. The Electronic Payment Adjustment Log shall include, but is not limited to, date and timestamp of adjustment, operator identifier of person making adjustment, identifier of supervisor authorizing adjustment, reason for adjustment, and action taken. The Electronic Payment Adjustment Log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.48	The SP shall capture and process data from CSE generated payment coupons.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.49	The SP shall work with the CSE BP and the State to establish procedures to minimize NSF payments.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No updated per CR-3-00029-01
CO 1.51	The SP shall maintain a Batch Control Log that provides an audit trail from the time the batch is created through the archival life of the payments. The Batch Control Log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.52	The SP shall maintain a log of CSP non-payment related correspondence images which shall include, but is not limited to image identifier and date sent. This log shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.53	<p>The SP shall initially research each unidentified payment within the first 15 days the payment is in the workload inventory. Thereafter, the SP shall research each unidentified payment at least once every 3 months. Research consists of, but is not limited to, the following activities:</p> <ol style="list-style-type: none"> 1) Research the images of the payment and associated documents for identifying information 2) Researching the CSE for: 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
	a) Numbers or transposition of numbers on court orders, SSNs, participant numbers, and case numbers b) Name matches and relationships between names c) A link between the employer and employees involved in withholding d) Locate information 3) Making telephone calls to seek information from: a) The employer b) The check writer c) The account owner (for direct deposits) d) The bank on which the check was written e) Neighbors located through cross reference data sources such as the Haines Directory 4) Writing to the persons who could not be reached by telephone 5) Updating the unidentified record or automated case history about the work performed 6) Releasing payments with sufficient information into the distribution stream using CSE business rules and functionality 7) Searching the world wide web (www) for information as necessary and appropriate	
CO 1.55	The SP shall obtain prior approval from the State for SP generated forms or notices.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.56	The SP shall provide the capability for an obligor to initiate and submit payments to the SDU via a web based interface.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.57	The SP shall deposit all child support monies collected into the State's Zero Balance Account (ZBA) each business day.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.58	The SP shall notify the State of the daily deposit amounts into the ZBAs by close of business each business day and reconcile against the daily collection receipts.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.59	The SP shall provide support to the State's account management and reconciliation efforts for the ZBA.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.61	The SP shall prepare presorted deposits, of all child support monies collected, by 1:00 p.m. Pacific Time each State business day for pick up by courier.	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Operations

CO 1.0 Collection Services

Num	Statement of Work	Response
		<input type="checkbox"/> No
CO 1.62	The SP shall use the State Treasurer's Office Misc-Sort Contract.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.64	The SP shall capture a secondary, locally assigned unique identifier for local payments.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
CO 1.65	The SP shall map received collections file from CSR legacy system format to the SWS standard format.	<input type="checkbox"/> Yes <input type="checkbox"/> No added per CR-3-00020

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
DB 1.1	The SP shall develop and properly deliver the SDU Disbursement Procedures (CDL DB 001-1, CDL DB 001-2).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.2	The SP shall perform disbursement processing activities in accordance with the SDU Disbursement Procedures.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.3	The SP shall monitor disbursement processing activities to effect improvements and shall update the SDU Disbursement Procedures as necessary to document changes.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.4	The SP shall establish a demand/sweep bank account on terms subject to State approval with no offsetting of fees at one of the State designated depository banks for the purposes of disbursing child support funds. The funds shall be invested pursuant to Government Code §16430.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.5	The SP shall report and relinquish to the State interest earned on child support monies in their custody, on a monthly basis.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.6	The SP shall, in accordance with the CSE/SDU IDD (CSE CDL TM 030), electronically interface with the Version 1 and Version 2 CSE to exchange disbursement instructions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.7	The SP shall, in accordance with the ARS Functional Requirements Design Description (FRDD), electronically interface with the ARS consortia to exchange disbursement instructions during Version 1.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.8	The SP shall, in accordance with the CASES FRDD, electronically interface with the CASES consortia to exchange disbursement instructions during Version 1.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.9	The SP shall, in accordance with the CSE/SDU IDD (CSE CDL TM 030), electronically interface with the Version 1 and Version 2 CSE to exchange disbursement status data.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.10	The SP shall, in accordance with the ARS Functional Requirements Design Description (FRDD), electronically interface with the ARS consortia to	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
	exchange disbursement status data during Version 1.	<input type="checkbox"/> No
DB 1.11	The SP shall, in accordance with the CASES FRDD, electronically interface with the CASES consortia to exchange disbursement status data during Version 1.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.12	The SP shall disburse payments to payees identified in accordance with disbursement instructions received from CSE, ARS, and CASES.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.13	The SP shall provide the capability to disburse payments using a variety of methods (to include EFT, direct deposit, Electronic Payment Card [EPC], and check, where checks are necessary).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.14	The SP shall maintain a record of all check stock. The SP shall record all used, unused, voided, destroyed and canceled checks including those destroyed due to equipment malfunctions. The log shall include check number, date and time stamp of identifier of person making adjustment, reason for adjustment, any other action taken, and date and time stamp of identifier of supervisor authorizing adjustment. The SP shall maintain the check stock logs and make available for any audit and for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.15	The SP shall create and maintain a Check Register. The Check Register shall include, but is not limited to, check number, date issued, amount issued, member ID, and payee name and shall account for checks voided, canceled, and cleared. The Check Register shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.16	The SP shall print and sort outgoing mail for delivery through the U.S. Postal Service in compliance with the U.S. Postal Service standards, including automation standards. The SP shall take advantage of the most economical mailing rate while ensuring timely delivery in accordance with service level objectives. The State reserves the right to require reasonable evidence that the best mailing avenue was selected, price and all other factors considered.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.17	The SP shall provide a remittance advice with each check. The check and remittance advice together shall be prepared using 8 ½ by 11 paper. The remittance advice shall be prepared in accordance with provided disbursement instructions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.21	The SP shall provide to the State monthly banking statements, in a format acceptable to the State, from SP's financial institution which itemize cleared checks, electronic transactions, interest earned, and banking fees.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
DB 1.22	The SP shall maintain records from the SP's financial institution of SP bank account activity (e.g. monthly account statement). These records shall be available for inspection by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.23	The SP shall conclude processing of disbursement instructions received by noon each State business day and report disbursement instructions received for the previous 24 hour period of time by 1:00 PM each State business day to DCSS for reimbursement of child support monies. The report shall contain itemized disbursements by type with summation of each category and a grand total for the period of time covered.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.24	The SP shall provide invoices to substantiate postage costs paid by the SP for reimbursement.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.25	The SP shall designate an official with authority to review and approve disbursement reconciliation and resolve discrepancies. This individual shall not be involved with disbursement processing.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.26	<p>The SP shall reconcile transactions at the following disbursement processing points:</p> <ol style="list-style-type: none"> 1) After receiving instructions to disburse payments, 2) Conclusion of disbursement batch processing, 3) Prior to transmitting results of executing disbursement instructions to CSE 4) Upon receipt of bank disbursement documentation. 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.27	The SP shall ensure that bank reconciliations are reviewed and approved in writing by the appropriate official. An authorized official should resolve any discrepancies with a reasonable time period after the discrepancies have been noted. All unaccounted for variances should be immediately reported to the appropriate supervisor. Exception reports for any part of the process must be resolved and signed off by the appropriate supervisor.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.28	<p>The SP shall capture and maintain disbursement data to include but not limited to:</p> <ol style="list-style-type: none"> 1) Amount disbursed 2) Date of disbursement 3) Recipient 4) Method of disbursement 5) Check number or other tracking number 6) Cleared date 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
DB 1.29	The SP must be capable of transmitting interstate collections to other states using EFT/EDI technology in accordance with disbursement instructions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.30	<p>The SP shall transmit Interstate child support collections and corresponding remittance data transmitted using the NACHA-endorsed EFT/EDI standard for child support collection (the Child Support Application). Corresponding remittance data includes but is not limited to:</p> <ol style="list-style-type: none"> 1) Application Identifier 2) Amount of Payment/Collection 3) Case Identifier 4) Date of Payment/Collection 5) FIPS Code 6) Medical Support Indicator 7) Noncustodial Parent SSN 8) Noncustodial Parent Name 9) Termination of Employer Indicator 10) Segment identifier 	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.31	The SP shall process EFT/EDI transactions in conformance with the requirements defined by the National Automated Clearinghouse Association (NACHA).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.32	The SP shall transmit Interstate child support collections to other States in the CCD+ NACHA payment format and at State option, the CTX NACHA payment format (full CTX 820 remittance format).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.33	The SP shall accept and process EFT authorization and termination requests to commence or stop direct deposits. The authorization or termination will be initiated by close of business the day after being received.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.34	The SP shall not initiate EFT reversals. Requests for return of money previously disbursed through EFT shall be manually processed following procedures to be determined by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.35	The SP shall process direct deposit payment transactions using the Prearranged Payment and Deposit (PPD) National Automated Clearinghouse Association (NACHA) payment format.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
DB 1.36	The SP shall void and image returned disbursement checks. The SP shall transmit the status of the voided checks in accordance with the IDD and notify ARS, CASES, or the CSE that the check was returned and voided.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.37	The SP shall cancel or stop payment on a disbursement when instructed by the State.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.38	The SP shall provide copies of disbursement checks upon request by the State or LCSAs.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.39	The SP shall update in CSE all address and/or bank routing information received with returned disbursements.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.40	The SP shall notify ARS, CASES, or the CSE that an EFT disbursement has been returned.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.41	The SP shall report the disposition of returned disbursements daily. The report shall contain the number of addresses needed and the number updated the same day.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.42	The SP shall utilize positive pay security services offered by the SP's bank.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.43	The SP shall provide security features on disbursement check's equivalent to current industry standards.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.44	The SP shall use a depository bank that has been designated by the Centralized Treasury System (CTS) as a CTS member bank.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.45	The SP shall fully account for and relinquish to the State, any child support monies in their custody at the end of the contract.	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
		<input type="checkbox"/> No
DB 1.46	The SP shall notify the State of the daily disbursement amount reconciled against the daily disbursement instructions.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.47	The SP agrees to accept payment in the form of a State Controller's warrant. The warrant will be negotiated at the State Treasurer's Office upon presentation for payment.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.50	<p>The SP shall provide card-based disbursement methods such as Electronic Payment Cards (EPC) with minimal fees to the custodial party and the State.</p> <p>1) Custodial party fees shall be minimal and no fees shall be charged for the following:</p> <ul style="list-style-type: none"> • Monthly account fee • Up to 4 ATM withdrawals per month at ATMs owned and operated by the SP's financial institution (The State understands ATM's owned and operated by an institution other than SP's financial institution may charge the customer a fee.) • Up to 2 bank teller withdrawals per month • Unlimited balance inquiries via ATM, telephone customer service, or online • Unlimited POS access • Hard copy, monthly statements • Inactivity fee prior to 365 days of no deposit, no withdrawal, or no inquiries. • Replacement cards using standard U.S. mail. <p>2) The SP shall not charge more than \$1.50 per ATM withdrawal for ATM withdrawals that exceed the maximum per month (4).</p> <p>3) The SP shall charge a no more than a \$25.00 fee for an expedited/emergency replacement card.</p> <p>4) The SP shall not charge the custodial party more than a \$20.00 fee for overdrafts. The SP shall waive a CP's first overdraft fee provided the custodial party calls the service center to inquiry why the fee was assessed and as part of educating the custodial party in regard to how the card works.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.51	The SP shall manage, maintain, and monitor the EPC accounts according to the Electronic Disbursement Implementation and Management Plan (CDL IM 017).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.52	The Service Provider shall provide the State with the Automated Clearinghouse (ACH) deposit security codes prior to the expiration date of this Agreement.	<input checked="" type="checkbox"/> Yes

Statement of Work Matrix

Disbursement

DB 1.0 Disbursement Services

Num	Statement of Work	Response
		<input type="checkbox"/> No
DB 1.53	The SP shall be responsible for numbering checks. Checks may be on pre-numbered stock or may be printed on blank stock.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.54	The SP shall execute disbursements in consideration of available funds, performance standards and customer service.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
DB 1.55	The SP financial institution shall pay to DCSS on a monthly basis, the interest accrued by the SP SDU demand/sweep bank account. No fees shall be charged to the State for the account. The funds in the SP SDU demand/sweep bank account shall be invested pursuant to the provisions of California Government Code §16430.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No